Indian Philosophy

A COLLECTION OF READINGS (5 VOLUMES)

Roy W. Perrett

Volume 1: Epistemology

Edited by Roy W. Perrett

Indian Philosophy
A Collection of Readings

Series Editor

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Series Contents

Epistemology

Edited with introductions by

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Series Preface

No anthologist succeeds in including everyone's favorites, so a few words about the principles of selection seem appropriate. Firstly, as with other volumes in this Garland series, priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. Readers in search of further bibliographical assistance should consult what is now the standard source: Karl H. Potter, *Bibliography of Indian Philosophies*, 3rd rev. ed. (Delhi: Motilal Banarsidass, 1995), and the on-line updates to it available at the "Indian Philosophy Bibliography" (http://faculty.washington.edu/kpotter/). Secondly, the emphasis throughout is on *philosophical* studies of Indian philosophy. Consequently, much excellent historical and philological work has been omitted. Thirdly, the desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology. This restriction has prevented the inclusion of more work by Indian authors.

Finally, I would like to acknowledge gratefully all the good advice and generous assistance I have received from Chakravarthi Ram-Prasad, Mark Siderits, and (most especially) Stephen Phillips. The blame for any shortcomings that may remain rests, of course, solely upon my own shoulders.

Series Introduction

The five volumes of this series collect together some of the most significant modern contributions to the study of Indian philosophy. Indian philosophy is one of the great philosophical traditions of the world. Unfortunately, however, its philosophical riches are not always as readily accessible to Western philosophers as might be desired. The selections in these volumes help to redress this situation by giving readers easy access to some of the best philosophical work in the area, including material that is often difficult to locate.

Collectively the selections in these volumes explore many of the important commonalities and differences between the Indian and Western philosophical traditions. These similarities and differences are philosophically pregnant. There is enough in common between Indian and Western philosophy to suggest that the philosophers in both traditions are often engaged with similar problems and hence should be able to communicate with each other. However, there are also sufficient differences between the traditions to suggest that they may have some novel perspectives to offer each other.

In choosing the selections for this series priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. The emphasis throughout is on *philosophical* studies of Indian philosophy. The desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology.

Volume 1: Epistemology is concerned with the nature and scope of Indian *pramāṇa* theory, i.e. that part of Indian philosophy concerned with the nature and sources of knowledge. Indian philosophers developed a causal theory of knowledge and acknowledged the existence of a number of valid ways of knowing, including perception, inference and testimony. The Indian *pramāṇa* theorists thus discussed many issues that have also

occupied Western epistemologists, often offering importantly different perspectives on these matters. They also sometimes addressed various interesting questions about knowledge that are unfamiliar to Western epistemologists.

The selections in this volume discuss Indian treatments of epistemological topics like the means of knowledge, realism and anti-realism, truth, knowledge of knowledge, illusion and perceptual error, knowability, testimony, scepticism and doubt.

Volume 2: Logic and Philosophy of Language is concerned with those parts of Indian *pramāṇa* theory that Western philosophers would count as logic and philosophy of language. Indian philosophers and linguists were much concerned with philosophical issues to do with language, especially with theories of meaning, while the Indian logicians developed both a formalised canonical inference schema and a theory of fallacies. The logic of the standard Indian inferential model is deductive, but the premises are arrived at inductively. The later Navya-Nyāya logicians went on to develop too a powerful technical language, an intentional logic of cognitions, which became the language of all serious discourse in India.

The selections in this volume discuss Indian treatments of topics in logic and the philosophy of language like the nature of inference, negation, necessity, counterfactual reasoning, many-valued logics, theory of meaning, reference and existence, compositionality and contextualism, the sense-reference distinction, and the nature of the signification relation.

Volume 3: Metaphysics is concerned with the complement to *pramāṇa* theory, i.e. *prameya* theory. Whereas the *pramāṇas* are the means of knowledge, the *prameyas* are the knowables, cognisable entities that constitute the world. With respect to the number and kinds of such entities, there was a very wide variety of opinion among classical Indian philosophers — including variants of monism, dualism and pluralism about both entities and kinds. Many metaphysical topics were debated, but two of the most important were causation and the nature of the self. The competing theories offered about these two issues also raised other questions about the metaphysics of wholes and parts, substances and properties, and universals and particulars.

The selections in this volume discuss Indian treatments of topics in metaphysics like ontology, constructionalism, universals, negative facts,

mereology, causation, relations, freedom and determinism, and theories of the self.

Volume 4: Philosophy of Religion is concerned with something that can be described as "Indian philosophy of religion," i.e. "philosophy of Indian religions." Contrary to popular Western belief, classical Indian philosophy was not indistinguishable from Indian religion — as even a cursory glance at the first three volumes of this series will demonstrate. Religious concerns, though, did motivate the work of many Indian philosophers. However, important differences between the major Western religions and the major Indian religions (Hinduism, Buddhism, Jainism) mean that the shape of Indian philosophy of religion is often significantly different from that of Western philosophy of religion.

The selections in this volume discuss Indian treatments of topics in the philosophy of religion like the problem of evil, God, theological monism and dualism, atheism, the concept of a perfect being, reason and revelation, rebirth and karma, religious language, religion and politics, ritual and *mantra*, and the religious determinants of metaphysics.

Volume 5: Theory of Value is concerned with Indian discussions in the areas of ethics, politics and aesthetics. The Indian philosophers had a good deal to say about the theory of value as they vigorously discussed topics like the ends of life and the relation of virtuous action to those ends. A traditional Hindu classification recognises four classes of values: *dharma* (morality, virtue), *artha* (wealth, power), *kāma* (pleasure), and *mokṣa* (liberation). *Mokṣa* is usually held to be the highest value and is extensively discussed in the paradigm Indian philosophical texts. Indian political and legal theory is concerned with the values of *artha* and *dharma*. Aesthetic pleasure is one of the subject matters of a developed body of writing on aesthetic theory. *Rasa* ("flavor"), the special feeling or enjoyment that pervades an artwork or is aroused in its contemplator, is commonly seen as detached from the aims and concerns of ordinary life, with some even suggesting that it provides a foretaste of the bliss of *mokṣa*.

The selections in this volume discuss Indian treatments of topics in the theory of value like the proper ends of life, the relation of *dharma* and *mokṣa*, liberation and pleasure, the sources of our knowledge of right and wrong, the ethics of non-violence, the status of the supra-moral, egoism and altruism, the theory of *rasa*, aesthetic experience and catharsis.

Volume Introduction

Classical Indian theory of knowledge is centered around *pramāṇa* theory (Chatterjee 1950, Datta 1960, Matilal 1986, Bhatt 1989). In Indian epistemology the *pramāṇas* are the *means* of knowledge, providing knowledge through modes like perception, inference and testimony. The *prameyas* are the knowables, cognizable entities which constitute the world. A *pramā* is a knowledge-episode and the relation between such a cognitive episode and its object (*prameya*) is structured by the *pramāṇas*. A *pramāṇa* provides both an authoritative source for making a knowledge claim and a means for (or way of) knowledge. In other words, a *pramāṇa* has a dual character: both evidential and causal. It provides evidence or justification for regarding a cognitive episode as a knowledgeepisode. But it is also supposed to be the most effective causal route to such an episode. Thus the theory of *pramāṇas* becomes both a theory of epistemic justification and a metaphysical theory of the causal requirements necessary for the validity of such justification. The *pramāṇas* are not simply justification procedures, but also those methods that match the causal chains with the justification chains so as to validate knowledge claims.

Indian philosophers vigorously debated the question of the number and nature of the *pramāṇas*. The Cārvāka admitted only perception as a valid means of knowledge, and accordingly rejected a belief in karma as unjustified. Vaiśeṣika and the Buddhists admitted both perception and inference as *pramāṇas*. Sāṃkhya allowed testimony as a third means. Vaiśeṣika added analogy (*upamāna*). Prābhākara Mīmāṃsā added presumption (*arthāpatti*) to these four. Bhāṭṭa Mīmāṃsā and Advaita Vedānta added yet a sixth source, non-cognition (*anupalabdhi*). Most agreed, however, that perception and inference are the most important sources of knowledge. Hence elaborate rival theories of sense perception and (especially) of perceptual error were developed, as well as sophisticated theories of inference.

All schools of Indian philosophy agreed that truth is a differentiating characteristic of knowledge-episodes (*pramā*). However, the various

schools differed as to their theories of truth (*pramātva* or *prāmāṇya*). Rival theories were offered not only about the meaning and criterion of truth, but also about the apprehension of truth (Mohanty 1989 and 1992, Chatterjee 1997). The central issue the theory of the apprehension of truth (*prāmāṇyavāda*) addresses is whether the truth of a cognition is apprehended intrinsically (*svataḥ*) or extrinsically (*parataḥ*): i.e. whether a cognition and its truth are apprehended together, or whether it is only through a second cognition that one apprehends the truth of the first cognition. (The Indian philosophers' concern with this question flows naturally from the *pramāṇa* theory's being a causal theory of knowledge; they wondered whether the originating conditions of a true cognition were in themselves sufficient for producing its truth.)

A traditional typology gives us Mīmāṃsā, Advaita and Sāṃkhya as all supporters of some variant of the theory of intrinsic truth-apprehension (*svataḥprāmāṇyavāda*) and Nyāya and the Buddhists as both supporters of the theory of extrinsic truth-apprehension (*parataḥprāmāṇyavāda*). Intrinsic theorists all agree that there is no *criterion* of truth, even if there are criteria of error. That is, since a cognition as such is true or apprehended as true, no criterion can *prove* its truth (even though a criterion of error may prove error to be error). Extrinsic theorists oppose these claims and insist that no cognition is true on its own account. Nyāya holds that the truth of a cognition depends upon its correspondence to reality; the Buddhist logician Dharmakīrti instead defines truth pragmatically in terms of "successful activity" (*arthakriyā*). Everyone accepts, however, that coherence and workability are at least marks of truth. Indeed presumably all parties could agree that the class of cognitions that, broadly speaking, lead to successful action and the class of cognitions that would be pretheoretically counted as "true" coincide extensionally. What is disputed is whether they coincide intensionally.

In discussing the idea that truth or falsity is extrinsically apprehended some Indian philosophers introduced the concept of a second-order cognition, i.e. a cognition which is itself the cognition of a cognition. Thus the question "How is the truth (or falsity) of a cognition determined?" is intertwined with the question "How is a cognition itself cognized?". With respect to the latter question Indian theorists hold either that a cognition is intrinsically cognized or "self-illuminating" (*svaprakāśa*) in that its very occurrence makes its own existence known, or that it is extrinsically

cognized only by a subsequent cognition (*parataḥprakāśa*). Variants of the self-illumination theory are upheld by Prābhākara Mīmāṃsā, Advaita, and the Buddhists; variants of the extrinsic cognition theory are upheld by Nyāya and Bhāṭṭa Mīmāṃsā.

This brief and partial sketch of the nature and scope of *pramāṇa* theory indicates both its similarity to and difference from Western epistemology. On the one hand, the Indian *pramāṇavādins* concerned themselves with many topics that have also occupied Western epistemologists: the nature and sources of knowledge, theories of sense perception and of perceptual error, the meaning and criterion of truth. On the other hand, there is also much in *pramāṇavāda* that is foreign to Western epistemology. In the Indian context, for instance, knowledge is treated as a species of awareness or cognition (*jñāna*), not of belief, and hence knowledge (*pramā*) is episodic, rather than dispositional. Doubt too is a cognitive episode or awareness, one which arises under certain specifiable conditions that do not allow for the possibility of meaningful foundational scepticism. Indeed many Indian philosophers are correspondingly sanguine about the limits of knowledge, often going so far as to identify the real with the knowable. The Indian epistemologists also often recognize independent sources of knowledge unfamiliar to Western epistemologists, including testimony (*śabda*), analogy (*upamāna*) and presumption (*arthāpatti*). Moreover, since Indian logical theory is primarily concerned with the nature of inference (*anumāna*) as an independent source of knowledge, it too falls within the scope of *pramāṇa* theory.

These important similarities and differences are philosophically pregnant. There is enough in common between Western epistemology and Indian *pramāṇa* theory to suggest that the philosophers in both traditions are often engaged with similar problems and hence should be able to communicate with each other. However, there are also sufficient differences between the traditions to suggest that they may have some novel perspectives to offer each other.

The selections in this volume explore some of these commonalities and differences. The opening paper by Mohanty presents a helpful overview of the general *pramāṇa* framework accepted by most Indian philosophers, stressing some of its important differences from Western epistemology. There is, however, one very important dissenter with respect to this general Indian consensus on the importance of the *pramāṇas*: the Buddhist

philosopher Nāgārjuna, who rejects the requirement that the Mādhyamika doctrine of emptiness (i.e. the doctrine that everything is empty of inherent existence) be grounded in the foundationalist framework of Indian *pramāṇa* theory. Trying to meet such a demand, Nāgārjuna argues, will lead either to a justificatory infinite regress, or to the incoherent notion of an inherently existent ground for our epistemic practices. Many have accordingly taken Nāgārjuna to be a sceptic (e.g. Matilal 1986), but Siderits argues instead that the motivation behind Nāgārjuna's critique of *pramāṇa* epistemology is a kind of antirealism. Nāgārjuna is not a sceptic trying to show the possibility of universal doubt. Rather he is rejecting as empty the assumption common to both realism and scepticism: that there is "one right fit" between beliefs and the world, to which we may or may not have epistemic access. Nāgārjuna is trying to show the incoherence of the very notion of a cognition or belief being true to the facts.

The concept of truth (*pramāṇya*) in Indian philosophy, especially in Nyāya and Mīmāṃsa, is elaborately discussed in the second selection by Mohanty, which offers a fourfold typology distinguishing intrinsic and extrinsic theories of truth-apprehension from intrinsic and extrinsic theories of second-order cognition (*prakāśa*). Katsura's piece usefully supplements Mohanty's by explaining the rather different approach of the Buddhist logician Dharmakīrti, who often favors a pragmatic account of truth in terms of successful activity (*arthakriyā*). Potter generalizes this pragmatic trend, arguing that (*pace* Mohanty) Indian epistemology does not concern justified true belief and that *pramāṇya* should be understood in Indian philosophy to mean *workability*, rather than truth. (For critical responses to this provocative suggestion see Mohanty 1984, Chakrabarti 1984.) The piece by Matilal presents the Indian debates about intrinsic and extrinsic theories of second-order cognition alluded to in Mohanty's fourfold typology, and fruitfully connects these with Western debates about knowing that one knows.

The selection by Bhattacharyya discusses Indian theories of perceptual error (see also Hiriyanna 1957, Potter 1963, Dravid 1996, Rao 1998). Illusion or error is a particularly serious problem for most (non-Buddhist) Indian philosophers because of their common commitment to epistemological realism, according to which the object of cognition can never be an totally unreal entity. Moreover the common Indian conviction that it is ignorance (*avidyā*) that causes us to be bound to suffering

generates theories of *metaphysical* as well as epistemological error. According to such theories liberation requires the correction of metaphysical error about our true nature and the true nature of the world. The understanding of epistemological error is then seen as a preliminary to the acquisition of this liberating metaphysical knowledge.

The treatment of illusion and error in Advaita Vedanta (discussed by Phillips and Ram-Prasad) is an instructive and influential instance of these trends. Advaitins hold that since *Brahman/ātman* alone is real, the everyday world is illusion (*māyā*). Our failure to see this is what binds us. But this illusion, like other perceptual illusions, then seems to require a (real) object of error. The developed Advaitin response is to argue that the object of illusion is neither real nor unreal (*anirvācanāya*). With respect to the existence of the external world, then, Advaita is neither realist nor idealist, but rather what Ram-Prasad calls "non-realist".

This Indian emphasis on the soteriological import of knowledge is usually coupled with a marked epistemological optimism about the availability to humans of the requisite salvationary knowledge. Nyāya, for instance, staunchly maintains the bold thesis that whatever exists is both knowable and nameable. The papers by Potter and Shaw explain the meaning of this striking claim, while Perrett argues that, given certain plausible assumptions, the Nyāya knowability thesis is demonstrably false.

As already noted, some of the Indian epistemologists recognize independent sources of knowledge not acknowledged by Western epistemologists. The most important of these is testimony (*śabda*), which is held by many to be a source of knowledge independent of perception or inference. This claim is likely to strike most Western epistemologists as decidedly odd, notwithstanding a recent revival of interest in the epistemology of testimony (Coady 1992, Matilal and Chakrabarti 1994). Chakrabarti's paper, however, argues for the philosophical defensibility of the Nyāya view that knowing by being told is not reducible to perceptual or inferential knowledge, nor to understanding followed by trust (see also Bhattacharyya 1998).

The Indian treatment of doubt as itself a species of cognitive awareness preempted the development of the kind of foundational scepticism central to the evolution of Western epistemology. Even those who count Nāgārjuna as a kind of sceptic about the *pramāṇas* do not maintain that he holds doubt to be anything like a foundational, or natural,

philosophical position, and similar remarks hold too for the "sceptical" writings of Jayarasi (Franco 1990) and Śrīharṣa (Granoff 1978, Phillips 1995). The final paper by Mohanty on the Nyāya theory of doubt helps explain why. According to Nyāya, everything can be doubted, provided that the specific causal conditions of the cognition called "doubt" (*saṃśaya*) are present. But the possibility of universal doubt Nyāya thus admits is a "motivated possibility", rather than a bare logical possibility. This is not the same as a Cartesian-style universal scepticism, built upon the premise that anything that is contingent is uncertain and hence doubtful. Since the Indians do not acknowledge this distinction between necessary and contingent objects or facts, for them nothing possesses any property that in itself makes it liable to be doubted. Meaningful doubt requires that suitable *epistemic* conditions are satisfied, and radical Cartesian-style universal scepticism is ruled out as in pragmatic contradiction with everyday practical life.

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J. N. Mohanty   **A fragment of the Indian philosophical tradition— Theory of *pramāṇa***

I

There are two ways in which one may look critically at a tradition: from within or from the outside. In this article, I intend to do it the first way. Raising the sort of questions that I will be asking already implies a certain estrangement from that tradition, but at the same time I do so not in order to find the faults or limitations which may characterize it, but with a view to continuing and creatively advancing the traditional modes of thinking. Living outside the country where that tradition developed and still has deep roots, and exposed to a powerful and temporally and culturally more relevant mode of thinking, one runs the risk of being an over-hasty, shallow, and even arrogant critic of a long and hallowed tradition. One gathers the illusion of being free, free from all tradition, and thus justified in critiquing one's own. But if that sense of freedom is illusory, this critique is superficial. If the critic claims to be free from all traditions, he will be forgetting what Gadamer has so poignantly reminded us: that he will be thinking from within a new tradition, for example, the tradition of (modern) rationalism.

In talking about the Indian philosophical tradition, I will be referring to the Indian *darśanas*, the classical philosophical schools—and only indirectly to the scriptures from which those schools derive their ideas and motivations. This decision, justified by usage of antiquity, leaves us with a less ambiguous discourse to reflect upon, and makes it possible to avoid many familiar pitfalls. Talking about Indian philosophy, it is not uncommon, for example, to insist that Indian philosophy is deeply spiritual, that its goal is not simple intellectual jugglery, but spiritual transformation of one's nature, that philosophy is a means to the attainment of *mokṣa* or spiritual freedom. Such large claims are, to say the least, highly misleading; in a familiar construal, they may even be false. The following remarks may

partly clear the way for a more fruitful reflection on the nature of Indian philosophy.

In the first place, there is no doubt that the *Upaniṣads* exhibit a strong spiritual motivation: knowing the *ātman* is said to bring about an end to worldly sufferings and a state of spiritual freedom (whatever the latter may mean). It is a frequent mistake not to distinguish between the spirituality of the *Upaniṣads* and the alleged spirituality of the *darśanas* even when the latter trace their ideas and doctrines back to the *Upaniṣads*. Secondly, *thinking* about spiritual matters is not itself spiritual. To assert this is not to degrade such thinking, but only to reiterate its nature quâ thinking. Quâ thinking, it may be thorough or superficial, adventurous or conventional, logically rigorous or lacking in rigor, critical or creative—but neither spiritual nor nonspiritual. Consider an analogous point: thinking about perception is not itself perceptual. Another thing often lost sight of by those who argue for the spiritual character of the *darśanas* is that, although the *darśanas*, at least some of them, recognize *sábda* as a *pramāṇa* or means of true knowledge, they do not *eo ipso* identify *sábda* with experience of some sort. This matter about which the philosophical tradition had great clarity is misconstrued by those who want to argue that recognition of *śabda* as a *pramāṇa* is tantamount to according to the spiritual experiences of the "seers" an authoritative status. I will return to this confusion later. The same sort of confusion characterizes such clichés as that the Indian philosophies make use of intuition rather than intellect. Quite apart from the fact that the uses of "intuition" and "intellect" are many and muddled, I wish to remind those who revel in such clichés that none of the *darśanas* uses a *pramāṇa*, which suffers a rendering into that much misused word "intuition."

Without belaboring my point any further, let me turn to the positive characterizations that I intend to submit. I will divide my remarks into three groups: those concerning *pramāṇa* or means of true cognition; those concerning *prameya* or objects of true cognition; and the overall *status* of the theory, its *aim* and its relation to other sorts of inquiry.

II

A philosophical theory needs not only to elaborate a view about the nature of things, but also to back up this account with a theory of evidence,

rational justification, and critical appraisal. It needs not only to *use* evidence, rational justifications, and critical appraisals, but also to have a theory of those theoretical practices. It needs to have generalized answers to such questions as: when is a cognitive claim valid? What sorts of evidences are acceptable in adjudicating the validity of a cognitive claim? What sorts of justifications of beliefs are acceptable? In critically appraising rival claims, what criteria are admissible? Where there are conflicting criteria, what are their relative strengths and weaknesses? These are the tasks to which the *pramāṇa* theory addresses itself. It is a singular sign of the high level of intellectual sophistication of the *darśanas* that they all, at some time or other in the course of their development, came up with their theories of *pramāṇa*.

As is rather well known, these theories differed not alone with regard to the definition of *pramāṇa* (and the implied concept of *pramā*, that is, true cognition), but also with regard to the number of *pramāṇas* and their specific natures. My purpose here is to draw attention to some striking features that emerge in these discussions, and which throw some light, however dim, on the Indian concept of rationality.

To begin with, let us note an important difference in locution, which, however, is not a mere matter of locution, but points to deep substantive issues. In the Western philosophical tradition, it was usual, until recent times, to ask: does knowledge arise from *reason* or from *experience*? The rationalists and the empiricists differed in their answers. These answers, in their various formulations, determined the course of Western philosophy. In the Sanskrit philosophical vocabulary, the words 'reason' and 'experience' have no exact synonyms, and the epistemological issue was never formulated in such general terms. On the other hand, a question which was asked (and which is likely to be mistaken for the question just raised in the Western tradition) is: is perception the only *pramāṇa* or is *anumāna* a *pramāṇa*? Neither is 'perception' synonymous with 'experience', nor '*anumāna*' with 'reason'. Those who recognized perception as a *pramāṇa* (in fact, every philosophical school did so) often did not restrict perception to sensory perception, and did not restrict sensory perception to the domain of sensible qualities, such as color, and material objects, such as sticks and stones. Among things that were taken to be sensuously perceived are: the self and its qualities, such as pleasure, pain, desire and cognition; universals, such as redness; natural-kind essences, such as cowness; and

relations, such as contact and inherence (of a quality in a substance; of a universal in its instances). That *anumāna* or inference is different from reason (of the rationalists) is clear from its very etymology; it follows upon perception. If we leave the Buddhists out, no school of Indian philosophy ascribed to inference a 'constructive' role. It knows what can be known otherwise. There is always a priority of perception. There are no Indian rationalists. Neither perception nor inference pointed to any specific faculty of the mind—as 'experience' and 'reason' did in classical Western philosophies. The same faculties or cognitive instruments—operating in different manners—resulted in one case in perception, in another in inference.

I have belabored this point in order to caution against any temptation to see in the *pramāṇa* theories near kins of the Western epistemologies. The preceding remarks lead to another feature of the *pramāṇa* theories. A *pramāṇa* is the specific *cause* of an irreducible type of *pramā* or true cognition. There are two different sorts of reason why a particular *pramāṇa* is not recognized by a certain school. One reason is that the sort of cognition which it causes is just not true cognition: this is the reason why some Buddhists would not regard inference as a *pramāṇa*: for an inferential cognition apprehends its object as an instance of a universal rule and not in its uniqueness, and so is not true to its object's own nature. But one may give a quite different sort of reason why a putative *pramāṇa* is not really one. When the Vaiśeṣikas deny that *śabda* or words can serve as a *pramāṇa*, they do not deny that the putative linguistically generated cognition is true; what they insist upon is that it is not of an irreducible variety, that as a matter of fact it is reducible to inference. There are thus *three* claims made by a *pramāṇa* theory: (1) some cognitions are true, that is, *pramā*; (2) some of these true cognitions belong to a type that is irreducible to any other type; and (3) true cognitions belonging to such an irreducible type are caused by a unique aggregate of causal conditions.

Thus, a sort of causal theory of knowledge is built into the *pramāṇa* theory:[1] a true cognition must not only be true to its object (*arthāvyabhicārin*), but must also be generated in the right manner, that is, by the appropriate causes. Expressed in a modern philosophical style, this amounts to saying: *S* knows that *p* if *S* has a cognitive state having the form '*p*' if this cognitive state is true, and if it is brought about in the right sort of way.

This last formulation in terms of a cognitive state leads me to the third feature to which I would like to draw attention. Western thought has been torn not only by the conflicting claims of reason and experience, but also, at least since Descartes, by the dualism of mind and matter, the subjective and the objective. One of the offsprings of the latter distinction is the distinction between the private and the public. In more recent philosophy this has emerged as the problem of psychologism. Epistemology and theory of logic have been haunted by the specter of psychologism, and have sought to banish all reference to the inner mental states from their discourse. The consequence has been pure objectivism—be it of the Platonic sort or of the physicalist sort. Contrasted with this, the Indian epistemologists have made unabashed use of 'mentalistic' discourse, and have never quite worried about the problems of psychologism, private language, and so forth. It is possible to accuse them simply of uncritical naïveté. But given the heightened critical acumen which they exhibit, the reasons have to be sought elsewhere. It is well known that for most Indian philosophers, mind (if that is how *manas* is to be translated) is rather a subtle form of *prakṛti* or matter, a nonconscious inner sense organ, but not a domain of private experiences. Cognitions and other experiences belong to the self, *ātman*, and can be 'perceived' only by their owner (if self-manifesting, then so only to the owner). But if *S* alone has an inner perception of his experience, it does not follow that none else can *know* them by any of the *pramāṇas* other than perception. What is more, these episodes, even if belonging to a particular owner, have their ideal intentional contents, which numerically distinct episodes, belonging to different owners and occuring at different temporal locations, can have in common. I have shown elsewhere how, given this conception of "mental episodes," one is enabled to construct a logic of cognitions with appropriate logical rules for inference. To talk about a cognitive event, then, need not arouse the specter of psychologism.[2]

I referred earlier to the causal story that pervades the Indian epistemologies. It is now possible to look at it more closely. Possibly since Kant, it has been usual to distinguish sharply questions of epistemic justification (*quaestio juris*) from questions of causal origin (*quaestio factis*). It is only in more recent times that a causal theory of knowledge has come very much into vogue, but the causal theories of knowledge have to be able to find room for justificatory concepts such as logical validity and

truth. In this regard, the Indian epistemologies can serve as a useful model. As B. K. Matilal has insisted in his recent book on perception, the *promāṇas* serve both as causes and as justifications of cognitive episodes.[3] It seems to me that this was made possible by first separating out noncontroversial instances of true cognitions from such instances of nontrue cognitions, and looking, at the same time, for (1) the marks that distinguish the former from the latter, and (2) the distinctive causal conditions which produce the former and not the latter, and, finally, combining (1) and (2) in the definition of *pramāṇa*. In the case of the theories which regard truth as *svataḥ*, the causal conditions producing cognitions (of a certain type) and those producing *true* cognitions (of that type) coincide.

Causal theories are regarded as being notoriously reductionistic, and therefore suspect for the logician-cum-epistemologist. Not so in the Indian tradition, which regarded them as being descriptive and compatible with the uniqueness of cognitions and their claim to truth. There are two aspects of this liberalism: for one thing, the reductionist causal laws are physicalistic and oriented to the prevailing physical theory, while the causal laws used by the Indian epistemologists are formulated in terms of such heterogenous elements as physical contacts, revived memories, and desires to have a certain sort of knowledge, for example—if needed, even activation of traces of past *karma* and the ubiquitous passage of time. Secondly, such a causal story is not explanatory but descriptive, for it is formulated in a way that wishes to adapt the story to the intuitive needs of a cognitive event rather than to submit to the constraints of an available physical theory. The general constraints were rather those of a large *ontological* theory.

As regards *pramāṇa theory*, I will make only two more comments before passing on to the *prameya* theory, that is, ontology. These two remarks will concern *anumāna* (or inference) and *śabda* (word), in that order.

Much has been said, in the secondary literature, of the fact that the Indian theory of *anumāna* is psychologistic (it tells a story about how inferential cognition arises) and nonformal (it requires an instance where the universal major premise is satisfied). Both characterizations are right, but unless correctly understood they are likely to mislead. I have already said how psychology and logic were reconciled in Indian thought. The theory of inference is a good illustration of this position. The rapprochement between psychology and logic was done by logicizing psychology as well as by psychologizing logic: the former by assuming that the psychological

process of reasoning conforms to the logical (any seeming deviance, as in supposedly fallacious reasoning, being due to misconstrual of the premises); and the latter by making logic a logic of cognitions rather than of propositions. It is not that the Indian theory of *anumāna* does not know of formal validity. In fact a formally valid mood can be abstracted from a valid Nyāya *anumāna*. But since the interest was in cognitions (and not in either sentences or in propositions), and in *anumāna* as a *promāṇa*, as a source of *true* cognition, the merely formally valid inference, as in *tarka* or counterfactuals, was left out of consideration.

This brings me to *śabda* or 'word' as a *pramāṇa* or source of true cognition. It is really here that the true foundation and the deeper roots of the Hindu tradition lie. The mere recognition of *śabda* as a *pramāṇa* is itself a novel feature of the Indian epistemologies. The Western epistemologies recognize one or more of the following sorts of knowledge: perception, reasoning, introspection, and memory. Many, in more recent philosophy, have come to emphasize the decisive role that language plays in shaping our knowledge. But to the best of my knowledge, no one recognizes language—or verbal utterance—as a means by itself of acquiring knowledge about the world. And yet how much do we know simply by hearing others, by reading books and so forth, not to speak of the religious and moral beliefs that we derive from perusal of the scriptures? The Indian epistemologies consequently recognized *śabda* (that is, hearing the utterances of a competent speaker) not only as a *pramāṇa*, but as *the* decisive source of our cognitions about all those matters that transcend the limits of possible sensory experience.

To bring out some peculiarities of the thesis of *śabda-pramāṇa*, I would like to emphasize the following points.

First, *śabda*, as a *pramāṇa*, is not a mere word, but a sentence—and that, too, is not a written, but a spoken sentence. There is undoubtedly a priority of the spoken and the heard over the written.

Secondly, with regard to language learning, most Indian theorists emphasize imperative sentences rather than indicative sentences. The sentence utterances are primarily—if not exclusively—to give orders, to suggest courses of action to be undertaken or avoided, and so forth, and not to state facts.

Thirdly, in their theory of meaning (both of words and of sentences), most Indian theorists have subscribed to a pure referential theory and do *not*

have a concept of sense as distinguished from reference. (Since I made this diagnosis two decades ago, several people have tried to show where to look for such a theory of sense. Most convincing of these attempts is by Mark Siderits. While Siderits is right in tracing a sort of sense theory to the Buddhist *apoha* theory, I think my general diagnosis is correct.) A direct referential theory permits the theory of *sabdapramāṇa* to collapse the distinction between understanding and knowing. While translations of empty expressions like "hare's horn" à la Russell abound in the Nyāya literature, the real stumbling block before the theory is to have some reasonably acceptable account of what it is to *understand* a false sentence. *Śabdapramāṇa* must be—even for the Naiyāyika, if they are to be consistent—*intrinsically* true. False sentences cannot generate any understanding (*śābdabodha*), not to speak of *pramā*. But, of course, on the theory, *śabdabādhā* and *śabdajanyapramā* are the same! The enormous problems that this identification generates are all too obvious.[4]

Fourthly, there is one area of knowledge where the claim of *śabda* to be an irreducible *pramāṇa* is strongest: this is the domain of what ought and ought not to be done. If factual truths may possibly be established either by perception or by reasoning of some sort, our only source of knowing what ought and ought not to be done—it may reasonably be claimed—is verbal instruction, written or spoken, by moral teachers, elders, or scriptures.

Finally, there is a large claim, supporting the tradition like a rock, that *sruti*, that is, the sacred, the heard, scriptures (the *Vedas* and the *Upaniṣads*) are *apauruṣeya*, that is, not composed by any human author. This gives them a freedom from possible fault, an incorrigible authority that no text with human authorship could support. I will return to this concept of 'apauruṣeyatva' at the end of this article.

III

What sort of theories of *prameya*, of possible objects of true knowledge, did the Indian philosophers hold? Given the great variety of ontologies—ranging from the pluralism of Nyāya-Vaiśeṣika to the monism of Advaita Vedānta—what can be done at this point is to draw attention to some salient features of those ontologies.

The first thing to be noted is that these ontologies do not countenance any abstract entity of the sorts that ontologies in the West admit. Among the familiar abstract entities, we have Fregean senses (for example, propositions), numbers, and universais. I have already said that, in my view, full-fledged Fregean senses are not to be found. Numbers are reduced to properties (*guṇas*) of sets. Universais, although common, are not the sort of rarefied entities amenable only to the grasp of pure reason, which characterize them in the Western metaphysical tradition. They are rather more concrete entities, perceived through the same sense organ by which their instances are. Nor are there pure unactualized possibilities. It is not surprising that these last creatures are absent, for their habitat in the Western metaphysical tradition, God's mind, does not play that role of creating *out of nothing* in Indian thought. In the absence of *possibilia* and of abstract entities such as propositions, some standard concepts of necessary truth and its opposite contingent truth just cannot find any formulation in the Indian systems. Thus, we have accounts of what the world does consist of, but not of what might have been or could not possibly not be. Recall that the standard formulation of *vyāpti* is extensional ("It is never the case that in all those loci where smoke is present, fire is absent"), but *not* modal ("It is impossible that …").

One reason why, in traditional Western metaphysics, the metaphysical scheme claimed a sort of necessity over and against those features of the world which the sciences study is that metaphysics and science have stood sharply separated ever since the beginning of metaphysics in Aristotle. Metaphysics, on this account, is concerned not with beings, but with being quâ being—the latter, that is 'being quâ being', being construed in various well-known ways (the highest being; the most general predicates or categories; the meaning of 'being'—to recall a few). For the Indian metaphysicians, science and metaphysics remain continuous. Both undertake to understand the structure of the world; they differ only in their order of generality. The Advaita Vedānta is the only exception in this regard: the world being unreal, on this theory, it is left to empirical science; and metaphysics, if that is what *parā vidyā*; needs to be called (which is indeed doubtful), is the knowledge of the one Being underlying beings.

If creation out of nothing, and so creation in the strict sense, has no place in Indian thought, that simply is not a marginal phenomenon for the *darśanas*, but—as I believe it can be shown—determines some very central

features not only of the Indian cosmologies, but also of the metaphysical notions of God, substance, time and, negation. Unfortunately, I cannot undertake an investigation of that problem on this occasion.

IV

In this last and concluding section, I would like to make a few remarks on the *pramāṇa-prameya* structure in its entirety, that is, on the philosophical enterprise as illustrated in the *darśanas*. While engaged in highly sophisticated philosophical activity, the Indian thinkers did not explicitly and self-consciously focus on the nature of their enterprise. It is generally in response to the skeptical challenges of a Mādhyamika that sometimes they would, while defending their enterprise, remark on the nature of what they would be doing. Without going into textual details, let me state some of the main issues.

1. The Mādhyamika critique is not merely a critique of the epistemology, but also a critique of the ontology. The critic insists on their mutual dependence. You cannot decide what the *pramāṇas* are unless you have decided what things there are to be known. And you cannot settle this latter question unless you have, at hand, the means of knowing. Where, then, do you begin? If the circularity cannot be broken, why not give up the entire enterprise?

2. The *pramāṇa-prameya* theorist's response to this challenge has been, in brief, that it presupposes an unnecessarily strong reading of the unity of the two parts of a *darśana*. There is no one-to-one relation between a *pramāṇa* and its *prameya*. One and the same thing can be known by more than one *pramāṇa*. One and the same system of ontology can be made to go together with different epistemologies: consider the Nyāya and the Vaiśeṣika. The mutual dependence that threatens the relation between cognition in general and object in general is broken by specifying both and establishing a many-one or one-many relation between terms on each side.

3. What (2) entails is that a *darśana* is *not* a seamless unity such that parts of it cannot be taken out of the context of *that* system. My

interpretation goes against the traditionalist's view of it, which regards each *darśana* as a unique point of view. Among moderns, the Russian émigré, David Zilberman, (whose untimely death was a serious loss to the cause of Indian philosophy) held this holistic view of a *darśana*—which I reject here.

4. The reflective question of what sort of knowledge a philosophical system itself yields (or amounts to) and if it can itself be appropriated into one or more of the *pramāṇas* recognized by the system, is not explicitly asked, but the practice suggests that quite often it is the latter alternative that was chosen. The reason—already hinted at earlier—lay in not recognizing that philosophical knowledge is a knowledge that is, quâ knowledge, distinct from the sorts of knowledge that are thematized within the system. An alternative way out, which would consist in distinguishing between understanding and knowing (whereby philosophy yields understanding, but not knowledge), was not open —in view of the purely referential theory of *meaning*. When the Vedāntin says that knowledge of *brahman* brings about *mokṣa*, this knowledge is such that both the knowledge and the entity of which it is knowledge are thematized *within* the system. When the Nyāya *sūtra* says that knowledge of the sixteen *padārthas* brings about the highest good, what sort of cognition is it? Is it by one or more of the *pramāṇas*? The answer seems to be 'yes'.

5. Students of the *darśanas* often wonder from where did the early masters—the authors of the *sūtras* and *Bhāsyas*—derive that framework (the list of *pramāṇas* and *prameyas*) which the later authors went on refining. To say that they elaborated a way of *seeing*—using the verbal root '*dṛś*' (= to see) is *not* to assuage that anxiety. It is not in any case true that the later authors simply refined and clarified the framework suggested by the founding fathers. They also changed and modified it *within limits* (which also speaks against a strong holistic reading of the *darśanas*.) The more common response was to trace the framework back to the *sruti* (the heard texts with no human author). Consider the intellectual phenomenon that philosophical systems as diverse as Nyāya and Vedānta claimed affiliation with the *śruti*. How then should the nature of *śabdapramāṇa* be construed so that this paradoxical situation may be rendered intelligible? I suggest that for this purpose the nature of *śabdapramāṇa* as applied to *śruti*

be construed in a manner that is implicit in the tradition's understanding of itself but *not* explicitly formulated *as such*. And it is here that I differ from the orthodoxy in interpreting the role of *śruti* vis-à-vis the philosophies.

The *apauruṣeyatva* of *śruti* means, for me, neither that the texts are not composed at all (thus I deny its literal construction) *nor* that those texts express some supernormal, mystic experience. Not the first, for there is enough internal evidence that the texts were composed and also because the literal construal makes no sense. Not the second, for—in my view—sentences do not express experiences, but rather thoughts. This last thesis I would like to defend, but this is not the occasion to do so. Setting aside these two commonly held interpretations, I wish to suggest the following.

First, in understanding the *śruti* texts, it is utterly irrelevant and of no use to appeal to the *intentions* of their authors. The texts, the words themselves, are primary in the sense that they are available to us, and it is they that define for us the tradition. We use them to interpret our experiences, our world, and ourselves, and in doing so we also interpret those words themselves. Whereas orthodoxy ascribes to the words of the *śruti* what it takes to be *the* meaning, I leave open the possibilities of interpreting them. It is this plasticity of meaning, this endless possibility of interpretation, the continuing challenge they make to us, which sets the texts of the *śruti* apart from those of *smṛti*. They are foundational not because they express truths which are infallible, but because they define the parameters *within which* the Hindu philosophers asked questions, understood their concerns, and appraised their answers. In this sense, *śabda* (as *śruti*) is not itself a *pramāṇa*, but underlies the latter's applications. *Apauruṣeyaśruti* is not the supreme *pramāṇa*, infallible and raised above all the rest. It is rather the source of all those *concerns* and *inquiries* (not answers) in the solution of which the different *pramāṇas* exhibit their special philosophical relevance.

Who, then, is thinking within that tradition? My answer is that it is not necessary to be thinking within the tradition, to subscribe to any or all of the answers of the schools, but what is necessary is to share the *concerns* as sources of philosophical problems. I define the tradition, then, in terms of concerns, rather than in terms of beliefs.

NOTES

1. Compare B. K. Matilal, *Perception: An Essay on Classical Indian Theories of Knowledge* (Oxford, 1986), esp. p. 35.

2. Compare my "Psychologism in Indian Logical Theory," in B. K. Matilal and J. L. Shaw, eds., *Analytical Philosophy in Comparative Perspective* (Dordrecht: Reidel, 1985), pp. 203–211.

3. Compare Matilal, *Perception*, esp. pp. 105 and 135.

4. I have discussed this in detail in my unpublished Presidential Address to the 61st session of the Indian Philosophical Congress, October 1986.

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NĀGĀRJUNA AS ANTI-REALIST*

Matilal's recent work, *Perception: An Essay on Classical Indian Theories of Knowledge*, is a welcome addition to the growing body of works which seek not merely to explicate the theories and arguments of classical Indian philosophers but also to continue the philosophical conversation by examining such work in the light of the theories and methods of the current philosophical community. Matilal's subject is, broadly, the Nyāya defense of the school's realism about perception against its critics, chiefly the Buddhists and Mimāṃsakas. I shall here take issue with Matilal on just one aspect of this broad debate – the exchange between Nāgārjuna and Nyāya over the possibility of pramāṇavāda. I shall argue that Matilal misinterprets Nāgārjuna's position in this exchange, so that his Nyāya-style response misses the point of the Madhyamaka criticism. This is important not just for exegetical reasons, but because we should want to continue the discussion begun by these philosophers some 1800 years ago.

Matilal gives an account of Nāgārjuna's critique of epistemology in Chapter 2, and gives the Nyāya response in Chapters 2 and 5. The fundamental difficulty with this discussion lies in the fact that Matilal classifies Nāgārjuna as a sceptic. It is of course true that in *Vigrahavyāvartanī* Nāgārjuna denies the possibility of giving a coherent account of the pramāṇas or means of knowledge. But Nāgārjuna does not do this in order to show the possibility of universal doubt. Rather, his motivation is anti-realist: he seeks to show the impossibility of a theory of the pramāṇas in order to close off one common route to metaphysical realism.

The doctrine of metaphysical realism has three key theses: (1) truth is correspondence between proposition and reality; (2) reality is mind-independent; (3) there is one true theory that correctly describes reality. The Naiyayikas clearly subscribe to metaphysical realism, but classical

Sāṃkhya and the Abhidharma schools of Buddhism also fit this description. What is distinctive about Nyāya is the way in which pramāṇavāda is used as a foundation for the metaphysical realist's program. Matilal's book is a good illustration of this, for he discusses in great detail how the Naiyāyikas used their account of perception as a pramāṇa to support their realist views about the nature and structure of the physical world. In *Mūlamadhyamakakārikā* (where his opponent is typically an Ābhidharmika) Nāgārjuna uses *reductio* arguments against various metaphysical theories to undermine the third thesis of metaphysical realism. But in the pramāṇavāda section of *Vigrahavyāvartanī*, where his opponent is a Naiyāyika, he employs a different strategy. He seeks to show that justification is coherentist and not foundationalist in structure. He does this not to show that we can never have knowledge, but to demonstrate that the empirical world is thoroughly pervaded by *prapanca* or conceptual fabrication. If no theory of the pramāṇas can escape the faults of circularity or infinite regress, then any use of the accepted pramāṇas to construct a metaphysical theory must involve assumptions about the nature of reality and the nature of cognition which can only be justified in a coherentist fashion. Nāgārjuna's aim here is to undermine theses (1) and (2) of metaphysical realism. If he is right about the nature and structure of pramāṇavāda, then the notion of truth as correspondence between cognition and state of affairs becomes problematic, and reality comes to be seen as suffused with elements of mental construction.

These points require further elaboration. I shall begin by discussing Matilal's Nyāya-based attempts at answering Nāgārjuna's objections to pramāṇavāda. I shall seek to show that such attempts, based as they are on what I take to be a misinterpretation of Nāgārjuna's motivation, fail to vindicate the Nyāya project. From this there should emerge a clearer indication of the consequences for metaphysical realism of Nāgārjuna's critique of pramāṇavāda.

I have elsewhere discussed at some length Nāgārjuna's arguments against a theory of pramāṇas (Siderits, 1980). To briefly recapitulate, in *Vigrahavyāvartanī* 30–51, Nāgārjuna considers various responses to the question of foundations: how do we know that the various purported means of knowledge are in fact pramāṇas? Four possible strategies suggest themselves: (1) a pramāṇa establishes itself; (2) one pramāṇa is established by another pramāṇa; (3) a pramāṇa is established by its prameya: (4)

pramāṇa and prameya mutually establish one another. It is argued that (1) is question-begging, (2) involves an infinite regress, and (3) and (4) are viciously circular. Since (2) is the most intuitively appealing position for a realist, the chief concern of the Naiyāyika is to stop the regress that the question of foundations seems to engender. Matilal gives extended treatments of two such strategies.

One way in which Matilal seeks to stop the regress is brought out in his discussion (pp. 57–9) of the light example of *Vigrahavyāvananī* v. 33. Matilal construes this as an analogical argument: just as light illuminates itself, so a pramāṇa may establish (i.e., verify) itself. I would interpret it rather differently. It is widely assumed among Indian philosophers that an entity cannot operate on itself.[1] If this principle holds, then it follows that a pramāṇa cannot establish itself. The claim that light illuminates itself is intended to serve as a counter-example to this principle. If Nāgārjuna can show that this claim is false, then in the absence of any other alleged counter-example and in the presence of such positive evidence as the fact that a knife cannot cut itself, the principle will stand and we will be justified in rejecting the assertion that a pramāṇa establishes itself.

Matilal takes Nāgārjuna to argue that an object may be said to be illuminated only if that object may also exist in the unilluminated state. Since light obviously does not exist where there is darkness, light does not meet this condition. Hence it does not make sense to say that light is illuminated. I agree that this is Nāgārjuna's argument. But Matilal takes this to show that 'Light illuminates itself,' is a mere stylistic variant of 'There is light.' And this is merely another way of saving, 'There is illumination of objects,' since the occurrence of light and the illumination of objects are inseparable and thus may not be distinct events at all. But then if the opponent is taken as giving an analogical argument, his claim that a pramāṇa establishes itself is equivalent to the statement that a pramāṇa occurs, which in turn is equivalent to the statement that there is cognition of the object of knowledge. In this case the question, What establishes the pramāṇa? is misguided, for there is no distinct entity the pramāṇa: there is only the event, 'establishment of the object of cognition,' which may variously be referred to as the occurrence of a pramāṇa or as the cognition of a prameya.

This is an interesting strategy, but I do not think it succeeds. Here we need to answer two questions: (1) is it true that the occurrence of light is

nothing over and above the occurrence of illumination of objects? and (2) if this were true, would the analogy with pramāṇa go through? With respect to the first question, we can begin by pointing out that Nāgārjuna, common sense, and Nyāya are all quite leery of positing powers as distinct entities. The mutual-dependence arguments of MMK (e.g.. MMK III) often turn on just this feature. And common sense would, I believe, be loath to admit the existence of light in the empty space between earth and sun. (This is just how the 'If a tree falls in the forest' chestnut gets generated.) But the underlying principle at work here is just parsimony: we need not posit a power as a separate entity in order to explain the occurrence of some phenomenon if the only evidence for its existence is just the phenomenon whose occurrence is to be explained. Thus light would be a superfluous posit if the only evidence for its existence were the illumination of objects. But there is independent evidence for the existence of light (i.e.. electromagnetic radiation in the visible spectrum), for instance diffraction phenomena occurring with transparent media. Thus the occurrence of light and the illumination of objects are distinct events, and Nāgārjuna's point – that light does not illuminate itself – holds for just the reason that he gives: light is not the sort of thing that can meaningfully be said to be illuminated.

This yields a useful way of testing Matilal's strategy for avoiding the regress. Is there independent evidence for the existence of the pramāṇa as distinct from cognition of the object? Certainly there is. Some cognitions are veridical, others non-veridical. Many nonveridical cognitions are phenomenologically indistinguishable from veridical cognitions; the difference is revealed only in subsequent behavior. If this difference is to be explained, then it can only be in terms of distinct causal routes leading to the two sorts of cognition. And a pramāṇa is just that sort of causal route that typically leads to veridical cognitions. Hence even if it were true that light is nothing over and above the illumination of objects, we would still have good reason to speak of the pramāṇa as distinct from their result, the cognition of objects. Given this, moreover, Nāgārjuna's original question – How are the pramāṇa established? – is seen to be not only possible but pressing. This strategy will not stop the regress.

Matilal's second, more elaborate attempt to stop the regress involves the denial of the KK thesis – the thesis that in order to have knowledge one must know that one knows. In Chapter 5 he gives a careful explication of much of the Nyāya literature on knowing that one knows, including the

Naiyāyikas' discussions of the various kinds of cognition that may be used to establish the knowledgehood of a given cognition. He shows that the consensus position is this: while one may, if the need arises, employ some such method to prove that a given cognition is a piece of knowledge, one may perfectly well fail to do so and yet still possess knowledge. Matilal also seems to agree with the Naiyāyikas on this point. And surely this is right – if having knowledge is a matter of having a true belief with the right sort of causal ancestry, then one can have knowledge without knowing that one's belief has been produced by a reliable cause. Or, to put the matter somewhat differently, one can *be* justified in one's belief without being able to *show* justification.

What is surprising is that Matilal seems to think that denial of the KK thesis is an effective answer to Nāgārjuna's infinite regress argument. Matilal must then assume that Nāgarjuna implicitly accepts the KK thesis. And he assumes this, I would suggest, because he takes Nāgārjuna to be a sceptic. For if Nāgārjuna's infinite regress argument is to establish that we never have knowledge, then the KK thesis would seem to be required. Take, for instance, that version of the regress argument which claims that in order to establish that some particular cognition *j* is a pramāṇa, one must employ some distinct cognition *k*, which is itself a pramāṇa. But in order to establish *k*'s pramāṇahood, one must employ some distinct cognition *l*, etc. A sceptical reading of this argument would go roughly as follows: to be justified in taking the experience of seeming to see water as veridical, one must know that the causal factors responsible for this experience are an instance of the pramāṇa perception (because one must know that one knows in order to know). But one can know that these causal factors are reliable only through the employment of some distinct cognition. And then, once again, one can know that that cognition is itself the product of reliable causal factors only through yet another cognition, etc. Since this justificatory regress can never be ended non-arbitrarily, it follows that one can never know that this is water before me.

Nāgārjuna is not, however, a sceptic. Indeed Matilal expresses well Nāgārjuna's attitude toward knowledge and pramāṇavāda when he writes, 'The force of such arguments was to persuade us to recognize our philosophical activity, our pramāṇa doctrine, for what it is, a fabrication, a convenient myth-making or make-believe, the inherent value of which lies only in making day-to-day life work smoothly and rendering inter-

subjective communication successful' (p. 67). To say this is not to say that we might be radically deceived in all our beliefs about the nature of the world, that we might be wrong in all we think we know. Nāgārjuna would probably agree that we do have knowledge whenever the conditions articulated in the Nyāya account of the pramāṇas are met. (Candrakīrti explicitly affirms this at Prasannapadā p. 25.) His disagreement with Nyāya is not over the possibility of knowledge, but over the uses to which a theory of knowledge may be put. He sees that if a pramāṇavāda is to vindicate metaphysical realism, then justification must be foundationalist in structure. The point of the regress argument is just that justification is coherentist in structure.

How, after all, does Nyāya arrive at its account of the pramāṇas? I think the method they use is best thought of as one that seeks to achieve a kind of reflective equilibrium. We begin with a stock of basic beliefs that would share wide acceptance, and seek out the causal conditions that led us to have such beliefs. Having formulated a provisional account of the causal conditions for knowledge, we then look to see whether it accords with both our original stock of basic beliefs and with other beliefs we have about the world and about knowledge. If not, we make adjustments either in our account of the conditions for knowledge, or in our stock of intuitions, or both. This process continues until our account of the causal conditions for knowledge and our intuitions are in equilibrium, when no further adjustments need to be made. The resulting account of the causal conditions for knowledge is a theory of the pramāṇas.

Now Nāgārjuna would, I claim, hold that if such a procedure is carried out properly, then one would be justified in holding any belief that was induced through some causal route that was identified by the theory as a pramāṇa. Such beliefs would constitute knowledge. What Nāgārjuna denies is that such beliefs in any way 'mirror' or 'correspond to' a mind-independent existent. (See the commentary on VV 51.) Such beliefs may well deserve the title 'knowledge' – if we have engaged in the process of reflective equilibrium with sufficient care, then such beliefs will no doubt meet the tests of worldly practice. But we cannot then claim that a belief induced by one of the causal routes we have identified as pramāṇas corresponds to reality. This can be seen from the fact that, had we begun with a different stock of basic beliefs, or had we employed a different account of what counts as a cause of cognition, or had we assigned different

weights to our criteria of theory acceptance (parsimony, elegance, etc.), the results of our inquiry might well have been quite different – both in the account of the pramāṇas arrived at and in the stock of beliefs deemed warranted by those pramāṇas.

Now this may sound like a sceptical challenge, but it is not. It may sound as if the claim is that since we cannot know which of these schemes – the one we have arrived at, or one of the alternatives we might have arrived at under different assumptions – is correct, we do not in fact possess knowledge about pramāṇas and prameyas. But this is no more an argument to the effect that we might be radically and systematically deceived, than is Putnam's 'brains in a vat' argument. The point is rather that since, on any of the multiplicity of possible schemes that might be arrived at through the process of reflective equilibrium, our beliefs would accord with our practice, it follows that the notion of the 'one right fit' between beliefs and world is empty. Realist and sceptic share the common assumption that there is one right fit. The sceptic merely denies what the realist affirms about the possibility of our attaining (and knowing that we have attained) the one right fit. The anti-realist exploits the apparent deadlock between realist and sceptic in order to undermine the shared assumption. If under the best possible epistemic circumstances (reflective equilibrium) it still appears possible that we might be radically deceived, then we need to re-examine the notion of knowledge with which we began. And the problematic element in our account of knowledge does not lie in our account of justification – even if we deny the KK thesis, it is still open to the sceptic to object that knowledge cannot be a matter of pure luck. The problem lies rather in our account of truth as correspondence between belief and world. If there are any number of distinct sets of beliefs each having equal epistemic warrant, then the notion of a right fit between beliefs and world must be idle and useless. We can have no conception whatever of what it would mean for a cognition to correspond to the nature of reality.

Put more formally, the argument is as follows:

1. We have cognitions.
2. Not all cognitions lead to successful practice.
3. We seek to improve our chances at successful practice.
4. Hence we seek reliable (success-inducing) causes of cognition – those cognitions so caused we will believe, those not so caused we will not.

5. We can come to discriminate between reliable and unreliable causes of cognition only through the method of reflective equilibrium (MRE).
6. MRE requires that we begin with (1) a finite (and relatively small) set of 'world intuitions' (e.g., that water quenches thirst): and (2) a set of beliefs about what counts as a cause of cognitions, principles of theory-acceptance, etc.
7. Suppose that, having arrived at reflective equilibrium and thus constructed an account of reliable causes of cognition, we use this account to acquire a set S of beliefs about the world. We will then be inclined to suppose that the members of S are (at least largely) *true to the facts*.
8. But we might have begun with different members for (1) and (2).
9. And such differences might have led to a different account of the reliable causes of cognition, resulting in some alternative set S' of beliefs about the world (where S and S' are incompatible).
10. Because both S and S' were arrived at through MRE, each will equally well accord with our practice.
11. Hence there is no available method for deciding which of these two sets is more nearly true to the facts.
12. If there is no method for determining which of two incompatible sets of beliefs is more nearly true to the facts, then the notion that a belief is true to the facts is meaningless.
    Therefore while S may be epistemically warranted, it cannot be said to be true to the facts.

Two points are in order concerning this argument. The first is that the conclusion explicitly denies a thesis affirmed by both metaphysical realist and sceptic alike. This is the thesis that there is some set of beliefs that is true to the facts. The sceptic, of course, maintains that we can never know which beliefs belong to this set. But scepticism would lose all bite were it not to claim that there is some one way that the world is, and that we can imagine (though we cannot attain) possession of the set of beliefs that captures that one way. The present argument is that since we cannot imagine what it would be to possess the set of beliefs that is true to the facts, the notion that there is such a set is meaningless.

This brings me to my second point concerning this argument, which has to do with the verificationism found in (12). Verificationism has suffered

from somewhat of a bad press in recent times. But this is, I think, due chiefly to the unduly restrictive form of verificationism employed by the logical positivists. A less restrictive form – one that merely requires that there be *some possible* means of verification of a statement if that statement is to count as meaningful – is quite sound. For it reflects the intuition that the meaning of a statement is its use – the conditions under which the statement would be deemed assertible by the speakers of the language (See Dummett, 1978). Given this connection between meaning and use. it is plausible to suppose that if we are unable in principle to specify any situation that would count as verifying a statement, then that statement must be devoid of cognitive significance.

Nor is it implausible to attribute such a form of verificationism to Nāgārjuna. For verificationist elements can already be detected in early Buddhism, namely in the Buddha's treatment of the 'indeterminate questions'. There, not only are such questions as whether the world is eternal deemed pointless for the project of release from suffering. It is also pointed out that equally plausible inferences can be constructed for the claims that the world is eternal and that it is not, and neither claim is empirically verifiable. Thus such questions are not to be pursued because they are devoid of cognitive significance. We should not then be surprised to find Nāgārjuna making implicit use of some form of verificationism.

What this argument shows is that if we follow the Nvāva method of discovering the pramāṇas – the method of epistemological reflective equilibrium – then while employment of the thus discovered pramāṇas will yield beliefs with epistemic warrant, beliefs that may properly be called knowledge, it would be illegitimate to conclude that such beliefs correspond to the nature of reality. For we are quite simply unable to give content to this notion of correspondence between cognition and facts. And this in turn means that while we may well have a use for the expression 'the way the world is', we are likewise unable to give content to the notion of the way that the world is independently of our cognitive activity. In short, if the Nyāya method of establishing the pramāṇas is correct, then theses (1) and (2) of metaphysical realism are false.

There is another route to this conclusion as well, one which may better match the structure of Nāgārjuna's argument. The infinite regress argument seems designed to force the pramāṇavādin to concede that pramāṇa and prameya are mutually dependent – that the pramāṇas can be established

only by making certain assumptions about the prameyas, and the prameyas can be established only by making certain assumptions about the pramāṇas. We can see this feature at work in the method of reflective equilibrium: the basic stock of beliefs with which we begin represents a set of assumptions about the prameyas; and the views we hold concerning the criteria of theory acceptance and the manner in which cognitions are caused represent a set of assumptions about the pramāṇas. Now there is one sense in which such mutual dependence is not a fault but a strength. Not only does this seem to be the best that we can do; having an account of the reliable causes of belief that is arrived at through the method of reflective equilibrium actually seems to better our odds when it comes to attaining beliefs that make worldly practice go smoothly. But this feature of mutual dependence which is thus built into a theory of pramāṇas shows that it is impossible to prise apart the contributions of 'world' and 'mind' to those beliefs that we know to be true. The content of our knowledge is in part determined by human needs, interests, and institutions. This is not, once again, to say that those beliefs we take to be knowledge are somehow distorted by these 'subjective' elements. Since it is in principle impossible to attain cognitions which are not so determined, we can have no notion of what it would mean to have cognitions which were not 'distorted' in this way – in which case the concept of distortion loses all purchase here.

The situation may be likened to what results once we accept Quine's point about the analytic-synthetic distinction. Since all observation is theory-laden, we must give up the notion that there might be sentences whose truth-value was determined solely by meaning, or sentences whose truth-value was determined solely by the facts. To say this is not to say that within a given language there can be no distinction whatever between meaning and fact. What this does show is that the notion of an ideal language – a language whose semantic structure is isomorphous with the structure of reality – is empty. And it shows this precisely because it shows that it is impossible to completely prise apart the respective contributions of semantic structure and of experience to our beliefs about the world.

Nāgārjuna's point is likewise not that there can be no distinction between knowledge and error within a given set of epistemic practices. Nor is it even that there can be no improvement in the epistemic practices accepted by a given community. His point is rather that even when the pramāṇavādin's project has been carried out, the set of beliefs that are arrived at as a result

of this program cannot be said to mirror the nature and structure of a mind-independent reality. For we cannot give content to this notion of ideal correspondence between cognition and world unless we can be said to know the nature of the relata – cognition and world – in isolation from each other. The fact that pramāṇa and prameya are mutually dependent in the manner described above, shows that we can have no such conceptions of cognition and world. Thus we can have no idea what it means to say that our beliefs mirror the world. To say of a set of beliefs that they correspond to reality is to pay them an empty compliment. We would do better to say that they help make things go smoothly for us – that they cohere with other beliefs we hold, and with our needs, interests, and institutions. To say this is to say that such beliefs constitute knowledge.

Put more formally, the argument is as follows:

1. We have cognitions.
2. Not all cognitions lead to successful practice.
3. We seek to improve our chances at successful practice.
4. Hence we seek reliable (success-inducing) causes of cognition – those cognitions so caused we will believe, those not so caused we will not.
5. We can come to discriminate between reliable and unreliable causes of cognition only through MRE.
6. MRE requires that we begin with (1) a finite (and relatively small) set of 'world intuitions' (e.g., that water quenches thirst): and (2) a set of beliefs about what counts as a cause of cognitions, principles of theory-acceptance, etc.
7. Suppose that, having arrived at reflective equilibrium and thus constructed an account of reliable causes of cognition, we use this account to acquire a set S of beliefs about the world. We will then be inclined to suppose that the members of S are (al least largely) *true to the facts*.
8. (1) represents a set of assumptions about the world.
9. (2) represents a set of assumptions about the nature of belief.
10. Each belief in S is epistemically supported by those sets (1′) and (2′) whose members consist of the members of (1) and (2) respectively that survive MRE.
11. It is in principle impossible to arrive at S without employing both (1′) and (2′).

12. The epistemic support that each member of S receives from (1′) and (2′) is coherentist in nature.
13. Because of the nature of coherentist support, it is in principle impossible to distinguish between the epistemic support a member of S receives from (1′) and that which it receives from (2′).
14. We can say of some epistemically warranted belief that it is true to the facts only if it is at least in principle possible to distinguish between the truth-making contribution given that belief by the world and the truth-making contribution (if any) given that belief by the nature of our cognitive apparatus.

Therefore we cannot say of S that its members are (at least largely) true to the facts.

This argument also employs a verificationist principle, which occurs in premiss (14). To see how this premiss can be justified, consider an objection that the metaphysical realist might make: while we agree that justification is coherentist in structure, this fact does not by itself show that truth does not consist in correspondence to a mind-independent reality. For it is possible that truth 'outruns' justification. That is, while it may be in principle impossible to prise apart the respective contributions of world and the nature of cognition to the *justification* we have for believing some proposition p, it is still possible that what makes p *true* (supposing that it is true) is that p corresponds to the nature of reality.

The anti-realist response is to ask what it would mean to say that p is made true by the world. That is, under what possible circumstances would we be justified in asserting that p is made true by the world? We could be so justified only if we were able to assure ourselves that p belongs to S not by virtue of the nature of cognition but solely be virtue of the nature of the world. And by (13) we could never have such assurance. Thus while we might seem to have something quite definite in mind when we entertain the possibility that truth outruns justification, we are in fact unable to conceive of a situation that would verify the claim that p is made true by the world. Hence the claim is quite devoid of meaning.

Here it is helpful to consider what we do have in mind when we entertain the possibility that truth outruns justification. We know, of course, of cases where we take ourselves to be justified in denying some proposition p that we subsequently discover to be true. We likewise know of cases where,

while still accepting *p,* we now take ourselves to be better justified in accepting *p* than we formerly were. Both sorts of case may be accounted for in terms of the notion of improvements in our epistemic practices. And it is quite natural to say in either case that while *p* was true, we were not initially justified in accepting *p* (because of the epistemic practices we then employed). We must, though, resist the temptation to suppose that there might be true propositions which we would never be justified in accepting no matter what our epistemic practices. For when we seem to imagine this, we do so only by covertly smuggling in some cognizer (perhaps God) who is justified in accepting those propositions by virtue of that cognizer's epistemic practices. And once we bring this cognizer and those epistemic practices out into the open, the problem of (13) reemerges: if the method of reflective equilibrium is the best epistemological game in town, then what makes those propositions true is not their correspondence to the facts but their coherence with whatever count as the members of (1′) and (2′) for this cognizer. That is, we have not succeeded in imagining a situation in which truth outruns coherentist justification.

The argument is, then, that since on the Nyāya account of epistemoiogy pramāṇa and prameya are mutually dependent, the Naiyayikas must abandon either their theory of the pramāṇas or else their metaphysical realism. And since Nāgārjuna would agree with Nyāya that scepticism is untenable, while Nyāya pramāṇavāda would strike Nāgārjuna as basically sound in its approach, it is metaphysical realism that should be abandoned.

For some time now, there have been two competing interpretations of the Mādhyamikas. First there is the crypto-Vedāntin interpretation. according to which Nāgārjuna and his followers maintain that the ultimate nature of reality is ineffable and apprehensible only through some sort of non-discursive mystical intuition. According to the second interpretation, the Mādhyamika is to be taken at his word when he proclaims that emptiness is itself empty: his view is that the very notion of the ultimate nature of reality is a mere conceptual construction arising out of conventional linguistic practice. Matilal clearly adheres to the first interpretation. The sceptic accepts the metaphysical realist's thesis that there is such a thing as the ultimate nature of reality; he merely despairs of the possibility that we can ever have knowledge (at least discursive knowledge) of it. I, on the other hand, obviously take the second interpretation to be correct. To say that all 'things' are empty is just to make the anti-realist point that we cannot give

content to the metaphysical realist's notion of a mind-independent reality with a nature (whether expressible or inexpressible) that can be mirrored in cognition. Now textual evidence can be cited in support of either of these two interpretations. And it may well be that there is nothing in the Madhyamaka corpus that will by itself settle the issue. I suggest that in such cases we should look to other considerations in order to decide between competing interpretations – e.g., to the principle of charity. I would also suggest that interpreting Nāgārjuna as an anti-realist allows us to attribute to him a more coherent and defensible position than results from viewing him as a sceptic and crypto-Vedāntin. This in turn makes it possible for us to continue the conversation between Mādhyamika and Naiyāyika in a way that is not open to us if we see their debate as just another instance of the realist-sceptic stalemate. And surely this too is a desideratum.

NOTES

* In writing this paper I profited greatly from numerous discussions with Mark Timmons concerning anti-realism and the nature of justification.

2. See Vacaspati Miśra's *Tattva Kaumadi* on Sāṃkhya Kārikā XVII; also Śaṃkara's comment on Vedāma Sūtra III.iii.54. The principle is also, according to Pitcher, at work in Wittgenstein's *Tractatus*: see George Pitcher. *The Philosophy of Wittgenstein*. p. 147.

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INTRODUCTION

THE PURPOSE of this introductory study is to clarify the concept of truth in Indian philosophy, especially in the Mīmāṃsā and the Nyāya systems, and also to attempt a critical appraisal of the *prāmāṇya* theories. In both these respects the task before us is bewildering. Not much attention has been paid by scholars to a precise explication of the concept of truth in Indian philosophy. If we could throw some light on this and clarify the concepts, we could also to some extent clarify the amazingly complicated tangle of discussions that have grown up throughout the ages around the apparently simple question: Is *prāmāṇya svataḥ* or *parataḥ*? This is one of those questions to which every school worth the name came forward with an official answer. Arguments and counter-arguments were produced in never-ending stream. What we propose to do with regard to this vast mass of material at our disposal is in the first place to clarify the nature of the issue round which the theories centre, and then to examine the nature of the arguments that have been advanced by the different schools in support of their contentions. Since the primary purpose of this study is clarification of concepts, no attempt will be made here to take sides. But it is quite possible that certain conclusions are likely to emerge which would reflect our attitude towards this entire problem. It is needless to say that Gaṇgeśa's great contribution to the problem would be brought to the foreground wherever possible. To anticipate a general conclusion that is likely to emerge, it is very much plausible that the views of the rival schools are not really mutually incompatible as they at the first sight certainly appear to be. They may even be regarded in the long run as supplementing each other. The apparent incompatibility between these views then may partly be due to the fact that though it would seem they were giving different answers to the same questions, they were not always unanimous in their formulation of the problems, so that sometimes they were really answering very different questions.

I. PRELIMINARY DISTINCTIONS

Certain fairly well known distinctions may be mentioned at the very beginning.

1. *Two senses of 'prāmāṇya'* : The word '*prāmāṇya*' may mean either the property of being instrumental in bringing about true knowledge (*pramākaraṇatva*), or simply the truth of a knowledge (*pramātva*). In the former sense, *prāmāṇya* belongs to the various instrumental causes of true knowledge. In the latter sense, it characterizes a knowledge itself, if that knowledge is true. Of these two senses the second one is logically prior inasmuch as the very idea of being an instrumental cause of true knowledge cannot be understood without understanding what is meant by true knowledge and in effect without understanding what is meant by truth. The theories of *prāmāṇya*—the well known *svataḥ* and *parataḥ* theories—are concerned with *prāmāṇya* in the second sense, i.e. with the truth of a knowledge.[1]

2. *Two kinds of pramātva*: The Vedāntins who form a major group of participants in the controversy prefer to distinguish between two kinds of truth[2]: metaphysical truth (*tāttvika prāmāṇya*) and empirical truth (*vyāvahārika prāmāṇya*). A knowledge is metaphysically true if it can never be falsified at any time, past, present or future. *Metaphysical* truth then consists in *traikālika abādhitatva*. The truth which the Advaitins take to be *svataḥ* (in the sense or senses to be explained below) is not this metaphysical truth, but *empirical* truth[3], whose nature has yet to ɪᴅǫ made precise. It is this empirical truth which besides is, according to the Mimainsaka, the cause of unwavering activity (*niṣkampa pravṛtti*). This shows that although the Advaita metaphysics has the conception of an eternal truth, this does not lead the Advaitin to the utter scepticism of regarding all other knowledge falling short of the knowledge of Brahman as false. The *svataḥ* and the *parataḥ* theories are concerned with the *empirical truth* of—it is needless to add—the knowledge of finite human beings, and are not concerned with any other more perfect kind of knowledge, be it knowledge belonging to a God or be it the knowledge of Brahman.

3. *The theory of prāmāṇya and the theory of prakāśa*: The theory of *prāmāṇya* should be distinguished from a connected but quite different theory, namely, the theory of *prakāśa*. The latter is concerned with the apprehension not of truth but of the knowledge itself whose truth or falsity may at any time be under consideration. The *prāmāṇya* theory asks, how does a knowledge become true, and how is its truth ascertained? The theory

of *prakāśa*, on the other hand, asks the question, how is the knowledge itself known? How do I know that I know? One way of bringing home the fact that they are two distinct theories is to look into the various ways in which the different views about *prāmāṇya* have been combined with the different views about *prakāśa*. Bearing in mind that in each case we have a *svataḥ* theory and a *parataḥ* theory we may expect that there should be four different combinations. This expectation in fact stands confirmed. The four combinations are:

i.   the theory of *svataḥprakāśa* combined with the theory of *svataḥprāmāṇya* (upheld by Advaita and Prābhābara Mīmāṃsā);

ii. the theory of *parataḥprakāśa* combined with the theory of *svataḥprāmāṇya* (upheld by the Miśra and the Bhāṭṭa schools of Mīmāṃsā);

iii. the theory of *svataḥprakāśa* combined with the theory of *parataḥprāmāṇya* (upheld by the Bauddhas); and

iv. the theory of *parataḥprakāśa* combined with the theory of *parataḥprāmāṇya* (upheld by the Nyāya school).

The theory of *prakāśa* is in fact logically prior to the theory of *prāmāṇya*. The question about the apprehension of a knowledge is logically prior to, and independent of, the question about the origin and the apprehension of the truth of that knowledge. For unless the knowledge itself is known, no question can even be raised about its truth. The theory of *prakāśa* is also wider in scope inasmuch as it pertains to all states of consciousness and not merely to knowledge.

4. '*Svataḥ*' and '*parataḥ*' : The Vedānta and the Mīmāṃsā theory is known as the theory that truth is *svataḥ* whereas falsity is *parataḥ*. As opposed to this we have the Nyāya theory that both truth and falsity are *parataḥ*. The key terms in this controversy are '*svataḥ*' and '*parataḥ*', literally meaning 'from within' and 'from without' respectively. We would sometimes use the English words '*intrinsic*' and '*extrinsic*' more for reasons of convenience than for their accuracy in rendering the two Sanskrit terms.

When the Mīmāṃsā-Vedānta theory holds that truth is intrinsic to knowledge it means either or both of two things. It may mean on the one hand that the originating conditions of the truth of knowledge are precisely

the same as the originating conditions of the knowledge itself. On the other hand, the theory also holds that the knowledge and its truth are apprehended together. Thus, 'intrinsic' means both 'intrinsic with regard to origin' and 'intrinsic with regard to apprehension', both *utpattitaḥ* and *jñaptitaḥ*.

Similarly, when the Nyāya holds that truth is extrinsic to knowledge, it means both of two things. On the one hand it holds that the generating conditions of the truth of a knowledge are more than the generating conditions of the knowledge itself. It also holds that the apprehension of a knowledge *does not always* amount to the apprehension of its truth. Thus 'extrinsic' means both 'extrinsic with regard to origin' and 'extrinsic with regard to apprehension', *utpattitaḥ* and *jñaptitaḥ*.

With regard to origin, it should be borne in mind that the Nyāya does *not* hold that the truth of a knowledge is produced *after* the knowledge itself has come into being. The Nyāya rather holds (or, at least the majority of the Naiyāyikas do) that though a knowledge and its truth are produced together, their generating conditions are yet not quite the same, nor are they apprehended as a rule together.

Pārthasārathi Miśra in his *Nyāyaratnamālā*[4] mentions two meanings of the word '*svataḥ*' which may mean either 'what is related to oneself' or simply 'from oneself'. Raghunātha Śiromaṇi in his *Dīdhiti* on Gaṅgeśa's *Prāmāṇyavada* also distinguishes between two meanings of '*svataḥ*: 'from oneself' (*svasmāt*) and 'from what is one's own' (*svakīyāt*).[5] It seems to me that the distinction does not introduce anything new and so may be overlooked for our purpose.

It goes to Gaṅgeśa's credit to have shown that the words '*sva*' and '*para*' are relative terms, so that what is *sva* in one context may be regarded as *para* in another. Gaṅgeśa therefore (see para 35 of Gaṅgeśa's text) formulates his thesis independent of these terms though that means a more circuitous mode of speech.

II. DIFFERENT FORMS OF THE *svataḥprāmāṇya* THEORY

Although they all agree that truth of a knowledge originates precisely from those causal conditions which also give rise to the knowledge, the

different advocates of the *svataḥprāmāṇya* theory nevertheless differ amongst themselves as to the nature of the apprehension of truth. Even with regard to this latter question they all no doubt agree that a knowledge is as a rule apprehended together with its truth.[6] They differ, however, in the first place, with regard to the nature of knowledge and, secondly, as to the nature of our apprehension of a knowledge. Accordingly, we might distinguish between four different forms of the theory: the Prābhākara, the Vedānta, the Bhāṭṭa and the Miśra.

(a) The Prābhākara theory: The Prābhākara stands alone in thinking that there is no positive error. Strictly speaking, the problem of truth *and* error is simply meaningless on his theory, for there is no cognitive error. Is then the ordinary usage about truth *and* error without any significance? The Prābhākara would say that the only point about this distinction lies in the practical side of knowledge. When we say a knowledge is false we really mean—the Prābhākara seems to be saying—that it leads to unsuccessful behaviour?[7] On the cognitive side all knowledge is true. Even the so called false knowledge is, for every knowledge has its object which it manifests.[8] Bearing this in mind, we might say that the Prābhākara Mīmāṃsā distinguishes between three levels of truth and error:

In the broadest sense of the term 'truth', all awareness, and therefore all knowledge, is true. In a narrower sense of the term, all awareness other than memory is true. In a still narrower sense of the term, only those knowledges are true that lead to successful practice whereas those that lead to unsuccessful practice are false. Rāmānujācāryya uses three different terms for these three different kinds of truth: *yāthārthya, prāmāṇya* and *samyaktva*. *Yāthārthya* belongs to all awareness[9] (including memory and what ordinarily passes for erroneous apprehension), *prāmāṇya* to all awareness[10] excepting memory (but including even the so-called erroneous apprehension) and *samyaktva* only to such knowledge other than memory which leads to successful practice.[11] *Yāthārthya*, or truth in the widest sense, is coextensive with the property of being an awareness of…, or of being true to its object (*sarvasya jñānasyarthāvyabhicāritva*). The criterion of *prāmāṇya* is independence in manifesting the object; memory is not *pramā* since it does not independently manifest its object.[12] The test of *samyaktva* is the absence of contradicted practice.

Now, how does all this bear on the Prābhākara version of the *Svataḥprāmāṇya* theory? Ganganath Jha has raised a pertinent issue against the Bhāṭṭa theory of *prāmāṇya*[13] without himself realising that the objection is equally valid against the Prābhākara notion. For, if the test of *prāmāṇya* is independence in manifesting its object or, in other words, if *prāmāṇya* is the property of apprehending something not apprehended before (*anadhigatatva*), then *prāmāṇya* is not *svatogrāhya*. The apprehension of the *prāmāṇya* of a knowledge would in that case await the ascertainment of this further condition. Or, to put it differently, if *prāmāṇya* is the property of being other than memory, it could not be said to be apprehended along with the apprehension of the knowledge (whose *prāmāṇya* it is). It is clear therefore that neither *prāmāṇya* nor *samyaktva* are apprehended *ab initio*. If therefore the Prābhākara Mīmāṃsā advocates the theory of *svataḥprāmāṇya* that could only be with regard to *yāthārthya*;[14] for it is only in this broadest sense of 'truth' that every awareness is awareness of its own object and to apprehend a knowledge is *eo ipso* to apprehend it as knowledge of its own object.

(b) The Bhāṭṭa theory: The Bhāṭṭa school, agreeing though in the fundamental point of *svataḥprāmāṇya*, differs from the Prābhākaras in the following points.

The Bhāṭṭas regard knowledge as an imperceptible activity and not as something self-luminous. We come to know about our knowledge therefore —on the Bhāṭṭa theory—only through an inferential process which immediately follows upon the knowledge. The inferential process has the following character. The activity of knowing, itself imperceptible, is directed towards and terminates in the object which thereby comes to acquire a new property of 'being known'. This property called by the Bhāṭṭas '*jñātatā*' or '*knownness*' serves as the mark for our inference of the act of knowing which is its imperceptible cause. Unlike most other inferences, this inference of the knowledge from the *jñātatā* in the object does not wait upon my desire to infer: it automatically—unless hindered by more powerful factors—follows upon knowledge and in that sense no knowledge goes unknown, though again none is directly perceived.

Now, truth—according to the Bhāṭṭas—is apprehended *svataḥ* in the sense that the same inference from *jñātatā* which makes us aware of a knowledge also makes us aware of the truth of that knowledge. Truth of course has its origin in the very same factors which also give rise to the

knowledge whose truth it is but like the knowledge its truth also remains unknown at the beginning. The knowledge manifests its object without itself or its truth being apprehended till of course the above-mentioned inference brings both to light.[15],[15a]

But what does the Bhāṭṭa mean by 'prāmāṇya'' Kumārila has not given anywhere a precise definition of it. We could only fall back on the line: "tasmād bodhātmakatvena svataḥ prāptā pramānatā[16] which suggests the conjecture[17] that also for Kumārila, as for the Prābhākara, prāmāṇya is the same as awareness-of-the-object (=bodhātmakatva). In this sense of course every knowledge is intrinsically true. Other members of the school however are not as reticent as Kumārila, nor are they all unanimous on this point.

Umbeka, commenting on the Ślokavārtika, rejects the identification of prāmāṇya with bodhakatva on the plea that though the latter is intrinsic to all knowledge yet it does not serve to distinguish right from wrong knowledge,[18] for even the erroneous knowledge of a rope-snake has the property of bodhakatva inasmuch as it also manifests its own object. Umbeka concludes by defining 'prāmāṇya' as arthāvisaṃvāditvam, that is to say, as the 'property of being uncontradicted in its object'.[19] Mere manifestation of an object is not enough. A true knowledge must be uncontradicted in its object. Umbeka adds that it is this truth which is svataḥ in the sense of being produced by the cause of the knowledge itself.

Gāgā Bhaṭṭa goes further to define a true knowledge as a knowledge whose object was previously unknown and which is uncontradicted by another knowledge;[20] in this sense, prāmāṇya is the same as samyaktva of the Prābhākaras. But can truth in this sense as also in the sense of Umbeka be Svataḥ?

Pārthasārathi suggests a new distinction between two senses of 'truth': truth as pertaining to the knowledge, and truth as pertaining to the object. Apparently, his purpose is to circumvent the following difficulty. My knowledge of truth would take the form 'This knowledge is true'. Now on the Bhāṭṭa theory both the original knowledge and its truth are apprehended together. The original knowledge however being previously unknown, the judgment 'This knowledge is true' is not possible. Awareness of truth would therefore presuppose a prior apprehension of the knowledge—which would of course contradict the central thesis of the svataḥprāmāṇya theory. This difficulty is evaded by suggesting that the prāmāṇya is nothing other

than *viṣayatathātva* or the "suchness of the object", in which case the ascription of *prāmāṇya* to the knowledge cannot but be secondary[21],[22].

Now it seems to me that Pārthasārathi's distinction is hardly to the point. For, truth is an epistemological notion, and it is only as an epistemological notion that truth concerns us here. Truth in this sense, i.e. as the 'suchness of the object' or as the pure nature of the object hardly concerns the issue under consideration. The fact is that '*viṣaya*' itself is an epistemological concept, so that '*viṣayatathātva*' could only mean faithfulness or adequacy of the knowledge to its object.

We may then say that the Bhāṭṭas have suggested two notions of *prāmāṇya*, (*i*) of *prāmāṇya* as equal to *anadhigatatva*+ *abādhitatva* and (*ii*) of *prāmāṇya* as nothing other than *viṣayatathātva*. Of these two notions, it is (*i*) whose claim to be apprehended *ab initio* must be rejected, for the two constituent notions are sufficiently complex so as to require subsequent deliberation.[23] It is therefore (*ii*) which might put forward a reasonable claim for being *svataḥ*. But in that case the meaning of *viṣayatathātva* has to be made more precise. One thing seems to be clear: it is not the same as the *yāthārthya* of the Prābhākaras. For *yāthārthya*, as we have seen, belongs to all awareness as such, to right knowledge and error alike, while Pārthasārathi's notion is meant to distinguish right knowledge from error. If *viṣayatathātva* in this sense is to be *svataḥ*, then we have to take it that every knowledge quâ knowledge claims to be true to its object.

It must be added that though *viṣayatathātva* is meant to distinguish right knowledge from error, nevertheless—Pārthasārathi reminds us—when the Mīmāṃsaka seeks to establish the intrinsic truth of all knowledge, he has in view all knowledge and not merely the right ones.[24] This is in fact, as we shall have occasions to emphasize later on, one of the puzzling situations with which the *svataḥprāmāṇya* theory is faced.

(c) The Miśra theory: The third form of the theory is ascribed to the school of Mīmāṃsā associated with the name of Murāri Miśra none of whose writings is handed down to us but who is mentioned in Nyāya and Mīmāṃsā treatises.[25] This school is represented as combining the Nyāya doctrine of *anuvyavasāya* with the Mīmāṃsā theory of intrinsic truth. Again there is no difference as to the origin of truth, about which all the three Mīmāṃsā schools agree. The difference centres round the question of apprehension. The primary knowledge whose truth is under consideration is

apprehended in its *anuvyavasāya* or introspective awareness; this secondary knowledge also apprehends the truth of the primary knowledge.[26]

Hardly any arguments of the school survive. Gaṅgeśa however gives one argument in favour of the view. This is to the effect that since a knowledge is specified only by its object (*viṣayanirūpya*), the *anuvyavasāya* apprehending a primary knowledge should also apprehend that primary knowledge as being knowledge of such and such object, which in fact amounts to apprehending it as a true knowledge.[27] The underlying conception of truth seems to be, on the face of it, not very far from the Naiyāyika's. Truth is defined as *tadvadviśeśyakatve sati tatprakārakatvam*, and both these component properties—to be explained later on—are said to be knowable in introspection. Gaṅgeśa therefore takes great pains to show that truth is *more than the mere co-existence* of (1) the property of having a qualifier and (2) the property of having a qualificandum which possesses that qualifier. For this see

(d) The Vedāntic *theory*: The *Vedāntic* form of the *svataḥprāmāṇya* theory owes some of its peculiarities to the background of the Vedāntic metaphysics. For our present purpose, it would suffice to draw attention to two of its main features before raising the really critical issues that are at stake. In the first place, the Vedāntin's conception of knowledge is very different from the Mīmāṃsāka's. The word 'knowledge' means, in the Advaita works, either of four things: (*i*) a modification of the inner sense (*antaḥkaraṇavṛtti*) or (*ii*) consciousness as limited by a modification of the inner sense (*antaḥkaraṇavṛttyavacchinnacaitanyd*) or (*iii*) the witness self (*sākśī*) or, finally (*iv*) the pure undifferentiated consciousness free from all limiting adjuncts and determinations. Of these four, the question of truth or falsity does not concern either (*iii*) or (*iv*); not (*iv*), for it has no object and truth or falsity pertains to the relation of knowledge to its object[28]; not (*iii*), for the witness self to which, on the Vedāntic theory, everything is given either as known or as unknown is by itself neither true nor false.[29] It is really (*i*) and (*ii*) of which we could meaningfully predicate truth or falsity. Curiously enough, (*i*) is not self-revealing, for being a modification of the inner sense it is, on the Vedāntic principles, *jaḍa* or non-conscious. But there is the saving consideration that (*i*) never remains unknown, being in direct touch with the self-luminous witness self. Knowledge in the sense of (*i*) is therefore self-revealing only in a derivative sense. It is not revealed by itself, but it is revealed directly, i.e. without the mediation of another *vṛtti*,

by the *sākṣī*. It is (*ii*) which is knowledge in the strictest sense and which is self-luminous in a sense that is more direct than the sense in which (*i*) is so.

Secondly, *svataḥprāmāṇya* on the Vedāntic theory means that the truth of a knowledge is apprehended through the same *sākṣī*-awareness through which the knowledge itself is apprehended.

The really pertinent question however is, what does the Vedāntin mean by '*prāmāṇya*' in this context? In other words, in what precise sense of '*prāmāñya*' does the Vedāntin take it to be intrinsic to a knowledge?

The usual definitions of '*prāmāṇya*' are in terms of the uncontradicted character (*abādhitatvam*) and the originality (*anadhigatatvam*) of a knowledge.[30] We have however said before that the *anadhigatatvam* is a character whose ascertainment depends upon subsequent reflection and cannot be apprehended *ab initio*. It remains to be shown that the same could as well be said of *abādhitatvam*. This is practically admitted by Madhusūdana Sarasvatī. Uncontradictedness refers not merely to the absence of contradiction at the time of knowing[31] but also to the absence of contradiction in future. Now, Madhusūdana recognizes that though present uncontradictedness may be apprehended along with the knowledge, yet it is absurd to suppose that a knowledge is apprehended *ab initio* as incapable of contradiction in future.[32],[33]

Vivaraṇa regards *prāmāṇya* in the sense of the capacity of manifesting (its) object as being intrinsic to a knowledge.[34] But is not this capacity for manifesting (its object) common to both right knowledge and error, as Umbeka has rightly pointed out? For erroneous apprehension, like all apprehension, is of an object, and it also manifests its object. This sense of truth therefore does not serve to distinguish true from false knowledge. If it be said, that is just the reason why all knowledge is intrinsically true in this sense, we could only reply that truth in this sense could never possibly be absent in an apprehension so that the Vedāntin would not be entitled to hold the further position, which in fact he holds, that a knowledge may be rendered false through extrinsic circumstances. For, no matter what extrinsic circumstances might present themselves, no matter if a knowledge is proved to be erroneous, the apprehension still remains apprehension of something. When therefore the Mīmāṃsaka and the Vedāntin maintain that truth is intrinsic to a knowledge whereas falsity is extrinsic, they ought to understand the two notions of truth and falsity in such a manner that the one remains the contradictory of the other.

Should we then say that truth, for the Vedāntin, is nothing other than the *tadvati tatprakārakatva* of the Naiyāyika? According to this meaning of 'truth', a knowledge 'S is p' is true when p really belongs to S, that is to say, when S (p) is known as p. When p does not really belong to S, the knowledge 'S is p' is false. In Gaṅgeśa's opinion it is only in this sense that truth may be regarded as being apprehended *ab initios*[35] But the consensus of opinion of the Advaita writers seems to be that *tadvati tatprakārakatva* is common to both right knowledge and error and therefore does not constitute the sense of 'truth' in which all knowledge is intrinsically true (but not intrinsically false). Madhusūdana at least of all writers is emphatically clear on this point.[36] It is curious that though Gaṅgeśa considers *tadvati tatprakārakatva* as the feature which distinguishes right knowledge from error, Madhusūdana and many Advaita writers regard it as belonging to all apprehensions, not excluding error. There is reason therefore to suspect that the Naiyāyika and the Vedāntin do *not* mean quite the same by '*tadvati tatprakārakatva*'.[37] But for the present we shall leave the matter there with the hope that this question would receive further clarification in part III of this Introduction.

A way out is suggested by adding a qualification to *tadvati tatprakārakatva*. Not bare *tadvati tatprakārakatva* but that as qualified by the property of leading to successful activity is what serves to distinguish right knowledge from error.[38] This may indeed be so,[39] but can we take such a complex property as capable of being apprehended *ab initiol* On the other hand, it seems reasonable to suggest that at least the property of being the cause of successful activity *cannot* in any case be a feature which one apprehends *ab initio*, for like *abādhitatva, saṃvādipravṛttijanakatva* also refers to a future possibility which could at best only be anticipated now.

The exact sense of '*prāmāṇya*' in which the Advaitin could speak both of '*svataḥprāmānya* and of '*parataḥprāmāṇya*' has to be specified in some other manner. There are two other suggestions that we are to consider; the one gives a psychological account and saves the theory, the other suggests a definition and renders the theory valid *but analytically trivial*.

Gauḍabrahmānandī, after showing that *prāmāṇya* in the sense of *abādhitatva* cannot be regarded as *svataḥ*, suggests that '*prāmāṇya*' for that purpose should be regarded as being the same as 'the property of being a knowledge of anything which has not been known to be false'.[40] In this

sense, a knowledge is true insofar as—and in the sense that—it is not known to be false. This is a psychological sense of 'truth', for truth here consists in one's ignorance that a knowledge is false. Now, this has the merit that it accounts for the fact that truth is apprehended *ab initio without obliterating* the distinction between right knowledge and error. For, certainly we cannot call a knowledge 'knowledge' unless it is unaccompained by an awareness of its own falsity; in this respect, every knowledge, even an erroneous apprehension prior to the detection of its erroneous character, is accompanied by an awareness of its own truth. In connection with the definition of 'truth' as *arthaparicchedasāmarthya* it was pointed out that this feature is intrinsic to all awareness quâ awareness and not quâ true knowledge, so that it characterizes an erroneous apprehension even if the latter is recognized as erroneous. Now the present psychological definition of 'truth' has the advantage that in this sense truth belongs to an erroneous apprehension only so long as its erroneous character is not detected. Truth in this sense does not characterize all awareness but certainly belongs to all knowledge, and continues to characterize a knowledge so long as extrinsic circumstances do not divest that knowledge of its character of being a knowledge by exposing its pretensions and in effect by reducing it to a mere awareness. It is thus a good account of the meaning of 'truth' within the limits of the *svataḥprāmāṇya*-and-*parataḥprāmāṇya* theory.

Its defects however—if they are at all to be regarded as defects—are twofold. First, the sense given to 'truth' is chiefly psychological, and secondly, the definition is a negative one. Were the definition merely negative, we could pass it over; what is worse is that it smacks even of circularity. For, 'truth' is defined in terms of 'falsity', as if the idea of falsity is logically more fundamental or epistemically clearer. If however a knowledge is to be called 'false' when it is not true (or if an object is to be called false if it is not the object of a true knowledge), then the definition is plainly circular. Nevertheless as a psychological account of every knowledge-situation, it is based on a sound phenomenological basis.

The other definition is suggested by Madhusūdana in his *Advaitaratnarakśaṇam*. After rejecting some definitions of 'truth' as unsatisfactory on the ground that they apply to error as well, Madhusūdana proceeds to define 'truth' as 'theproperty of being a certain apprehension of an object which was previously unknown'.[41] Truth in this sense,

Madhusūdana claims, satisfies three needs: it serves to distinguish right knowledge from error, it is capable of being apprehended *svataḥ* as the theory demands, and further it can account for unwavering activity (*niṣkampa pravṛtti*) as the phenomena demand. It does not belong to error, for the content of erroneous apprehension, e.g. the snake in rope-snake illusion, exists only when it is being perceived and therefore has no unknown existence (*ajñātasattā*). Of the object of erroneous apprehension we cannot then say that it was unknown before: hence truth in the above sense does not belong to erroneous apprehension. It is capable of being apprehended *ab initio*, for—according to the Advaita epistemology—the prior unknown existence of what now comes to be known is an object of *sākṣī*-awareness. (What is now known through any of the means of true knowledge is at the same time known as having been unknown before.) Hence, the property of being a certain apprehension of what was previously unknown is something that is apprehended together with any knowledge and by the same *sākṣī*-consciousness.

One very curious feature of the Mīmāṃsā-Vedānta theory is that truth, on this theory, is apprehended *ab initio*, in all knowledge including erroneous apprehension prior to [the detection of its erroneous character. But as soon as what so long passed as knowledge is now known to be erroneous, it is divested of its pretensions to be knowledge. Thus truth should on the one hand be common to all apprehensions including error, and yet it should also serve to distinguish right knowledge from error. The theory seeks to satisfy these two apparently conflicting demands. With regard to Madhusūdana's definition of 'truth', we may say that prior to the detection of its erroneous character, even an error passes for true knowledge insofar as even the erroneous object is felt to have had a prior unknown existence; but as soon as the error is recognised as an error, its object is at once seen to possess only a *prātibhāsika* being, i.e. to say being only while it was being experienced. Being without unknown existence, it cannot be an object of a true knowledge.

Understood in this way, Madhusūdana's theory also gives us a psychological account of truth. For, a knowledge, on this theory, is true so long as it is taken to be opposed to *ajñāna* (i.e. to say *ajñānavirodhi*); negatively speaking, a knowledge is true so long as we are *not* aware of it as *ajñāna-avirodhi*, which is the same as saying that a true knowledge is the apprehension of something which has not been known to be false

(*mithyātvena ajñātam yat tadviṣayakajñāna*).[42] The latter is the definition of *Gaudabrahmanandi* and has been discussed above.

Madhusūdana, however, proceeds in a direction quite different from the above psychological interpretation of his theory. He goes on *to define 'jñānatva'* in terms of '*pramātva*', so that invalid apprehension is regarded as lacking even the generic character of *jñānatva*.[43] Error is really pseudo-knowledge, not knowledge proper.[44] To the well-known argument of the Naiyāyika that if truth originated from the same conditions as give rise to the knowledge, false apprehension should also become true, for the generating conditions of knowledge are also the generating conditions of false apprehension, the latter being, like true apprehension, a species of knowledge, Madhusūdana confidently replies that this need not be so, for false apprehension is not a species of knowledge.[45] Error is not knowledge. It follows *analytically* that truth is intrinsic to knowledge.[46]

We may now sum up the conclusions towards which the above discussions have been leading us.

There are two ways of defining '*prāmāṇya*', so as to render the *svataḥprāmāṇya*-and-*parataḥprāmāṇya* theory a plausible one.

On the one formulation, *prāmāṇya* is explained in the psychological language with reference to the knower's *unawareness* as to the falsity of the knowledge under consideration. On the other formulation, *prāmāṇya* is identified with the very generic character of *jñānatva*, so that a false apprehension is, by *definition*, not knowledge at all.[47] On both formulations, to know is to know truly, and to know a knowledge is to know it as true.

In the former sense, *prāmāṇya* belongs in common to all knowledge, right or erroneous, but in the long run, as the erroneous character of the error is detected, it deserts the erroneous apprehension. It would not be correct to ascribe to this theory the view that a knowledge is true if it is not false: that would be trivial. The theory rather says that knowledge is true (*not taken as true*) if it is *not known* to be false. Thus, on this account, truth is a derivative concept and fits in with the Advaita metaphysics that nothing empirical is real. Empirical truth, therefore, is a concept which is logically definable only in terms of falsity. It must be said that to avoid the above mentioned charge of circularity, the Advaitin must give a positive account of falsity (which indeed he claims to have given!).

The second formulation, at the first glance, makes the *svataḥprāmāṇya* theory an analytic consequence of the suggested *definition* of 'knowledge' in terms of '*pramātva*'. But the definition is more than an arbitrary linguistic recommendation: there is an important sense in which it is also phenomenologically descriptive. For, there is a certain absurdity in saying both 'I know that S is p' and 'S is p is false'. One cannot know and yet be in error with regard to what he knows. If something is known, it follows necessarily that it is true. Thus, according to Ayer,[48] in order that I may be able to say 'I know that S is p', three and only three conditions need to be fulfilled. These are: (*i*) that 'S is p' is true, (*ii*) that I am sure of (*i*); and (*iii*) that I who know have the right[48a] to be sure. Knowledge, according to Ayer, is intrinsically true in the sense that if something is known, it follows necessarily that it is true.[49] This follows, we are told, from the 'linguistic *fact*' that what is not true cannot properly be *said to be* known.[50] What happens if subsequently I detect that I was really in error? It would follow that I really did not *know*, that I had mistaken a pseudo-knowledge (*jñānābhāsa*) for a knowledge. Hence, it is not a knowledge which becomes falsified, but it is really a pseudo-knowledge whose pretensions to be knowledge are now exposed. Hence the curiously paradoxical situation that although the *svataḥprāmāṇya* theory defined 'knowledge' in terms of 'truth' thereby condemning error as pseudo-knowledge, yet in its attempt to establish its position it includes under its '*pakṣa* all that *claims* to be knowledge including knowledge in the true sense and pseudo-knowledge.

It should be added that if the *svataḥprāmāṇya* theory is stated in this way, then truth can be taken to be *svataḥ* only with regard to its apprehension (*jñaptitaḥ*) and not with regard to its origination (*utpattitaḥ*). It is only the Prābhākara who is constrained to accept that truth is *svataḥ* even with regard to its origin, for if he did not subscribe to this he would be contradicting his own cardinal doctrine that all knowledge is true, that there is strictly speaking no error at all. Others like the Bhāṭṭas and the Vedāntins may or may not[51] subscribe to this part of the *svataḥ* theory; they may remain content with a moderate form by regarding truth to be *svataḥ* only with regard to apprehension.

All others (except the Prābhākaras) believe that there is erroneous apprehension. While believing in this, they may choose to subscribe to either of the following two explanations: (*a*) they may hold that all

apprehensions are initially true but some of them become subsequently, owing to extraneous circumstances, erroneous; or (*b*) they might hold that all knowledge is initially *apprehended* as true, though some of these are, right from the beginning, erroneous and therefore not knowledge at all but are pseudo-knowledge whose falsity comes to be recognised later on owing to extraneous circumstances.

The alternative (*a*) is most consistently held by those for whom an objective definition of 'truth' is not possible and who would consequently define 'truth' in psychological terms as indicated above. But since in this sense truth is not an objective property so that calling a knowledge true is nothing other than not knowing it as false, it is apparent that to claim truth to be *svataḥ* with regard to its origination is rather trivial. This is so for the reason that on this theory *being true* and being *apprehended* as true are the same.

The alternative (*b*) is most consistently held by those who also believe in two other propositions: (*i*) that truth originates *svataḥ* in all knowledge, but not in erroneous apprehensions; and (*ii*) that nevertheless both knowledge and pseudo-knowledge are *ab initio* apprehended as true.

Both the Prābhākaras and those amongst the others who subscribe to (*b*) believe truth to be intrinsic to all knowledge. But this apparent agreement is reached by radically different approaches—in the case of the Prābhākaras by rejecting error and consequently by regarding all certain apprehension as amounting to knowledge, and in the case of the upholders of (*b*) by admitting error but at the same time by excluding error from the purview of the term 'knowledge'.

The Prābhākaras *extend* the scope of 'knowledge' to include all apprehension; the others subscribing to *(b) contract* its scope so as to include only right apprehension. It goes without saying that (*b*) is on a safer ground. For, the Prābhākaras by including under the scope of 'knowledge' all apprehensions— not excluding the *so-called* erroneous ones—can save their theory only at the cost of introducing an equally extended sense of 'truth' according to which all knowledge is true since all knowledge is an *"awareness* of…." It hardly needs be emphasised that in this last mentioned sense of 'truth', the *svataḥ* theory, though irrefutable, becomes trivial.

The Naiyāyikas also do not accept the distinction between knowledge and pseudo-knowledge in the manner of (*b*, nor do they accept either the psychological definition of 'truth' advocated in (*a*) or the trivial account of

the Prābhākaras. For the Naiyāyika, true and false knowledge form two *species* of knowledge, agreeing in the generic character of being knowledge but differing in the specific characters of truth and falsity. It follows that for him, truth *cannot* be intrinsic to knowledge as such, though it is left to be seen why he also does not regard truth as *svataḥ* even with regard to apprehension. This shall require a precise delimitation of the Nyāya concepts of knowledge and truth, ta which the next part of this introduction is to be devoted. It is only after we are able to fix the precise sense of 'truth' in which the Nyāya regards truth to be extrinsic that any attempt ta assess the traditional arguments and counter-arguments on both sides could bear fruitful results.

I should conclude this examination of the *svataḥprāmāṇya* theory by noting down a caution against a misinterpretation of this theory which has been most common but which strangely enough has not been challenged. It has been usual to regard this theory as but an Indian version of what passes in Western philosophy as the self-evidence theory of truth. Self-evidence, on the Western theory, is still *a criterion* of truth, a criterion which serves to distinguish truth from error. A *criterion of truth* is always double-edged; it is also a criterion of error. It is precisely the contention of the *svataḥprāmāṇya* theory however that *there is no criterion of truth, though there are criteria of error*. Knowledge as such is true or is apprehended as true; the criteria, when applied, cannot any more *prove* its truth. They may however establish the erroneous character of what so long had passed for knowledge. Error is proved to be error, but knowledge cannot be proved to be true. For the self-evidence theory, on the other hand, truth is proved to be true (or falsehood proved to be false) by the criterion of clearness and distinctness (or, by its opposite). This is far too simple to be a faithful account of the complex phenomena of the progress of human knowledge.

III. THE NYĀYA THEORY OF *Paratah-prāmāḥya*

In the preceding part of this essay, we have analysed the various notions of *prāmāṇya* upheld by the different advocates of the theory of *svataḥprāmāṇya*. Now we may take up the theory of *paratahprāmāṇya*, especially as upheld by its principal advocates, the Nyāya school of philosophy. It is only after the fundamental concepts and presuppositions—

ontological, logical and epistemic—are thus laid bare that we could fruitfully attempt a critical appraisal of the entire *svataḥ-parataᷤ* controversy.

The following exposition of the Nyāya theory of *paratahr prāmāṇya* has four parts. We start with an account of the Nyāya conception of *jñāna*, for when dealing with *prāmāṇya*, we are in fact concerned with something which is a property of *jñāna*. Next, we shall pass over to the conception of *prāmāṇya* in the Nyāya system. With the notions *of jñāna* and *prāmāṇya* clarified, we would be in a position to offer an account of the Nyāya theory of *paratahprāmāṇya*. In the last two parts, we shall enquire into the basic presuppositions of this theory.

(a) The Nyāya Conception of Knowledge (*Jñāna*)

(*i*) With regard to the Nyāya conception of *jñāna*, it is necessary for us to bear in mind firstly that *jñāna*, in the Nyāya ontology, has the status of a *guṇa* (which can be rendered into 'quality' only at the risk of grave misunderstanding). Every *guṇa*, in accordance with the definition of '*guṇa*' in the Nyāya ontology, rests in a substance and the substance, in the present case, is none other than the self. Since we are not, in the present context, concerned with the notion of self which therefore need not detain us, we may turn for a moment back to the notion of *guṇa* which, as has already been remarked in parenthesis, does not mean 'quality'. One only needs to remember that the Nyāya includes in its list of *guṇas* such things as *saṃyoga* (or conjunction) which is ordinarily regarded as a relation. Uddyotākāra regards "desire, etc." (*icchādayaḥ*) as *guṇas* on the ground that they cannot be subsumed under the rest of the categories (*pāriśesyāt*).[52] *Jñāna* is not an activity, but a product;[53] to call it an activity would, firstly, amount to an unusual extension of the ordinary notion of act, involving the notion of movement (*spandana*); but, secondly, it is not admitted by the definitions underlying the Nyāya ontology.[54] Further, *jñāna* is not a modification of any substance, and therefore it would not be correct to call it a state of a substance, if by 'state' be meant such a modification. For, *jñāna* is a *guṇa* of the self which is not capable of modification in the same sense in which a lump of clay is modified into a pot or in any other literal sense. And, of course, *jñāna* is far from being a mental state, for the mind is

only one of the factors in its production but certainly is not that in which what is thereby produced inheres. It must be noted that though the Nyāya gains an advantage by not regarding *jñāna* as a mental state, the incurable privacy of *jñāna* nevertheless persists, for each person's self and therefore his *jñāna* is directly perceivable only by himself and by none else. Thus, *a. jñāna* is a product arising out of a collocation of causal conditions. And like all products, it is an occurrent, i.e. to say, arises in time and is replaced by others; the fact that it is not a modification and the fact that it is without any component parts (*niravayava*) are two aspects of the same situation, and being without parts it is also without any ontological form of its own (*nirakdra*).[55] In this respect the Nyāya view stands in sharp opposition to the conception of *jñāna* in Sāmkhya or Vedānta, according to which it is a modification of a substance called *buddhi* or *antaḥkarana* and *buddhi* or *antaḥkaraṇa* being a composite substance assumes the shape and the form of the object. Not so in the Nyāya: the *jñāna* being a *guṇa* and therefore without parts does not assume any form or shape (*ākāra*). Similarly not being a *kriyā* it does not bring about any change in the object that is known, as the Bhāttas wrongly regard it as doing.

(*ii*) While thus ontologically, *jñāna* is a *guṇa* of the self, a product of various causal conditions, and yet itself without component parts and so without shape and form, epistemologic-ally it refers beyond itself to its object. This last feature is what serves to *distinguish jñāna* from the other *guṇas* of the self, i.e. from desire, aversion, effort, pleasure, pain, etc. *Jñāna* alone, of all the other *guṇas* of the self, has this self-transcending reference to an object, and this reference—or intentionality, as Brentano would call it —-is intrinsic to *jñāna* qua *jñāna*.[56] Others, a desire, an aversion for example, may refer to an object but only indirectly, i.e. through the *via media* of a *jñāna*.[57]

But, is not such self-transcending reference or intentionality intrinsic to consciousness as such? And, if so, are not pleasure and pain, desire and aversion states of consciousness, and therefore also intentional? The Nyāya answer is very definite on this point:'consciousness' and '*jñāna*' are, for the Nyāya, synonymous expressions.[58] To be conscious is to be conscious of something which again is the same as having a *jñāna* of that something. Pleasure and pain, desire and aversion then are not as such states of

consciousness, though we are—or, more accurately, become—conscious of them.[59]

What has been said above indicates the very wide sense in which the Nyāya, along with most other systems of Indian thought, uses the word '*jñāna*' so that to render this Sanskrit word '*jñāna*' into the English 'knowledge' would be—and, in fact, has proved—definitely misleading. In fact, it is really the other word '*pramā*'—which denotes ordinarily only a species of *jñāna*—that permits itself to be translated 'knowledge.' It is redundant therefore to say—as has, more often than not, been held—that '*pramā*' means true knowledge. '*pramā*' certainly means true *jñāna* but since '*jñāna*' is not synonymous with 'knowledge' and since, in accordance with the English usage, toknow that S is p entails that S is p, '*pramā* could safely be treated as being equivalent to 'knowledge'. That '*jñāna*' and 'knowledge' are not synonymous expressions is further indicated by the fact that the Nyāya would treat doubt as a species of *jñāna* while to doubt is not to know, according to the English usage of 'know', though doubting certainly involves some knowledge which is not itself doubting. It cannot be said that doubt is a complex form of knowledge involving two mutually contradictory predications and as such resolves itself into elements of which each taken by itself is a knowledge; and that if this be so, then the equivalence between '*jñāna*' and 'knowledge' may be restored. Now this indeed is a possible alternative and has been adopted by Mimamsakas in their zeal to establish *svataĥprd-māṇya*. It is also possible that some Naiyāyikas attempted such an explanation of doubt,[60] though the general tradition of the Nyāya regards doubt as an irreducible form of *jñāna*. Moreover, as would be emphasised later on, this latter explanation of doubt fits in better with the Nyāya conception of truth. Thus we may safely conclude that if I am conscious of anything in whatsoever mode it may be, in the Nyāya terminology I may be said to have a. *jñāna* of it, although in accordance with the ordinary use of 'know' in the English language I may not be said to know it.

After having warned in the just preceding paragraph that '*jñāna*' and 'knowledge' are not equivalent expressions, I would add that in the following discussion I *propose* to use the English word 'know' (and its substantive form) in exactly the same sense in which '*jñāna*' is used in the Nyāya, so that when I have a doubt, I would *say* I have a knowledge. Consistently with this *proposal, 'pramā*' would naturally be rendered 'true

knowledge' although—as has been pointed out earlier—such a rendering would be redundant if we keep to the ordinary use of 'know'. Now that the exact sense of '*jñāna*' has been sufficiently emphasised, our proposal to use 'know' and 'knowledge' in its place could not possibly mislead us in our philosophical conclusions.

(*iii*) So far we have explained the ontological and the epistemic nature of knowledge, as upheld by the Nyāya school. Now we shall consider it from the logical point of view. We are of course concerned only with the so-called *savikalpa* knowledge, for that alone, being propositional, admits of logical analysis. But before we go deeper into this matter, an initial difficulty must be mentioned. How at all is it possible to attempt a logical analysis of something that is a transitory occurrent, as a knowledge is according to the Nyāya ontology? Being a *guṇa*, a knowledge cannot be shared in common by two selves;[61] it is incurably particular and in a sense private too. Is a logical analysis of anything of such a nature possible? I am not quite sure what the Nyāya answer to this difficulty would be, but I am sure that whatever would be the answer would also illuminate one of the basic features of the Nyāya attitude towards knowledge. But I presume, the difficulty might be resolved by the Nyāya by denying that the ontological and the logical attitudes are opposed to each other. It is well-known that the Nyāya logic is ontological and, where necessary, psychological too. Logical structure is ilot something raised above the existent world or belonging to an ideal world of forms—but is itself a product of existent factors and is exhibited in existents and occurrents. If this be so, the Nyāya might contend, the objection is pointless, for a knowledge, though a transitory occurrent, may yet exhibit logical structures: such perhaps is the very nature of knowledge qua knowledge.

This leads us to the real crux of the situation. We have said above that *savikalpa* knowledge is propositional. In what sense is this so? Let me introduce the following distinctions, well known in Western logic, in order to find out exactly the Nyāya position in this respect:—

(*α*) An indicative sentence, if significant, is said to express a proposition. Two different sentences may express the same proposition. Thus a sentence may be distinguished from the proposition it expresses. A sentence is a physical occurrent; the proposition expressed is the meaning of the sentence; it is a logical structure.

(*β*) A proposition may be distinguished from a judgment by saying that in a judgment there is a mental act directed towards a proposition; the proposition is either asserted or denied, believed or disbelieved. A sentence is uttered or written, but a proposition is asserted, denied, etc. Now, the distinction between a mental act and the proposition towards which the act is directed owes its plausibility to the following situation: it is possible to retain an identically fixed proposition and to vary the mental acts directed towards it, so that the very same proposition I was at first doubting, I now assert but later on come to deny. A mental act is a particular occurrent, and private too; but a proposition is not an occurrent but, to use that highly provoking expression, a subsistent entity. Not only can I entertain different mental attitudes towards the same proposition, but two different persons may believe in the same proposition as well! Thus a proposition is objective, at least in the minimum sense of being inter-subjective.

Let us now ask: to which of these categories does knowledge, as conceived in the Nyāya, really belong? It is certainly not the sentence, for the sentence, whether spoken or written, uttered aloud or nascent, is not a *guṇa* of the self. Is it then the proposition expressed by the sentence? Again, we have to say, 'no'. For, the Nyāya does not distinguish between the meaning and the reference of an expression, and what an expression means is taken to be the same as that which it refers to, so that the meaning of a sentence is the state of affairs it refers to and not an intermediate, subsistent entity called a proposition. Further, those who believe in propositions distinguish them not only from sentences but also, as we have seen in (*β*) above, from the mental acts like asserting, denying, doubting, etc. It seems to me that the Nyāya would not also entertain this latter distinction, for it is not entitled to postulate mental acts—not certainly acts of the self—to serve as the designata of such introspective judgments as 'I know', 'I believe', 'I doubt', etc. Again, the Nyāya would not agree with the contention that it is the same content which I at first doubted and which I now assert or which I may later deny. The content of doubt for example is not 'S is p' which I come to assert later on, but involves the two mutually contradictory predicates 'p' and 'not-p'. It seems then that neither the distinction (α) nor those under (*β*) are acceptable to the Nyāya.

Positively, we may say that, according to the Nyāya, a *savi-kalpa* knowledge is propositional though not a proposition,[62] and further that the two expressions 'I know that S is p' and 'my knowledge that S is p' refer to

the same state of affairs. The two points require some elucidation. By saying that a *savikalpa* knowledge is propositional though not a proposition, I wish to do justice to both the fact that a knowledge is not a sentence but is expressed by it and the fact that it is nevertheless not a self-subsistent objective entity of the sort conveyed by the word 'proposition'. I call it 'propositional' for it is a logical complex analysable into constituent elements and relations. By the second of the above two statements, I wish to draw attention to the fact that it is the same fact, an event or a situation—a *jñāna*— which is the referent of the episodic verb 'I know' as well as of the substantive 'my knowledge', so that the distinction between a mental act of knowing and a content towards which the act is directed would prove to be an illusion fostered by language. Likewise, the expression 'I doubt' and the expression 'my doubt' refer to the same thing and not that the former refers to the act of doubting while the latter to the content. In fact, what is produced (in the self) is an act and a content in one, a *guṇa* having the specific property of intentionality. More accurately speaking, what is produced is a content having an intentional character and it is this intentional character whose linguistic formulation generates the illusion of its being an activity, which it really is not.

(*iv*) After having ascertained the ontological, the epistemic and the logical status of knowledge, we have now to turn to *the analysis of knowledge* in this system. It has been said before that knowledge, according to the Nyāya, is without any parts and is in this sense without any form (for, form, in this sense of the term, is constituted by the peculiar arrangement of the parts). Though knowledge is in this sense formless, yet it is—as has also been pointed out—capable of being analysed insofar as it has constituent logical elements and relations. There is no contradiction in holding these two views together, for the sense in which form is denied to knowledge is not the same as the sense in which form is again ascribed to it. Knowledge then is capable of analysis.

Analysing a knowledge requires a reflective attitude towards it. To know is to know an object, but not to know one's knowledge of the object at the same time. Knowledge, in other words, is directed towards the object and not towards itself. All this is familiar enough. Only it is important to bear in mind that the Nyāya like most schools of Indian thought advocates a direct realism; this is not however equivalent to saying that for the Nyāya there is no content of knowledge.[63] There is content of knowledge, though this

content is brought to awareness in the reflective awareness. In the primary awareness, the contents are *not* the media through which the object is presented or, better, represented; they are rather transparent so that we perceive the object itself through them. In the reflective awareness, it is these contents that are directly perceived while the object is presented as ancillary (*pucchalagna*) to them! Analysing a knowledge involves this reflective awareness plus[64] an analysis of the content of knowledge into its constituent elements and relations. These contents may all be brought under one category, technically called *viṣayatā*. Though the Nyāya speaks, e.g., of "*viṣayatā* that is attached to the pot" (*ghaṭaniṣṭhaviṣayatā*), yet considering the fact that for the Nyāya knowledge does not generate any feature in the object we may presume that the words 'attached to' have to be taken as a sort of transferred epithet, so that strictly speaking the *viṣayatā* attaches to the knowledge, or rather constitutes it. To say that a knowledge is *of* a pot is the same as saying that a knowledge-content intentionally refers to a pot which is again the same as saying that the content as so referring is the *viṣayatā* "that attaches to the pot".

Understanding '*viṣayatā*' in this wide sense as the regional title for all the various types of knowledge-contents, we have to add that '*viṣayatā*' again is subdivided into three sub-categories, technically called '*viśeṣyatā*', '*prakāratā*' and '*saṃsargatā*'. '*Viśeṣyatā*' is the general title for contents referring to the qualificandum, '*prakāratā*' for contents that refer to adjectives, while '*saṃsargatā*' for those that refer to relations (in each case, the contents are to be taken as so referring). The ideas of qualificandum and qualifier have to be here dissociated from the naive ontological ideas of substances that are incurably substantive and attributes that are incurably qualifying. We are on the other hand to recognise the possibility of a so-called substance, say a pot, characterising another substantive, say, the floor, so that in 'the floor with a pot', the pot also functions as an adjective. Much speculation has been done regarding the ontological status of these entities called '*viṣayatā*'. Some have regarded them as independent *padārthas*, others as "tertiary qualities".[65] No doubt they are called *jñānīya*, and no doubt again that they can be regarded both as "knowledgewise" and as "object-wise". But strictly speaking they are not properties of knowledge, but the knowledge-contents themselves: they constitute the knowledge, and are not its properties, for knowledge is not anything over and above these properties.

Against this last contention it might be objected that a *nirvikalpa* knowledge is knowledge though it is without any such *viṣayatā*, for certainly the *nirvikalpa*, according to the Nyāya, does not contain any qualifier. In reply, we may point out that the real situation is this: the *nirvikalpa* is not any more direct grasp of the object than *savikalpa* is. Both grasp their objects directly as well as bodily, and in both there are contents that are not apprehended in primary awareness. Though however the contents of *savikalpa* become objects of reflective awareness, the contents of *nirvikalpa* do not,—a fact, for the explanation of which the metaphysician could only postulate some obscure *pratibandhya-pratibandhaka* relation.[66] The *nirvikalpa* has also its *viṣayatā*—only it is by definition devoid of any qualifier and if there is no qualifier there is also no sense in saying that there is a qualificandum. Hence though without any *viśeṣyatā* and any *prakāratā*, yet the *nirvikalpa* has its *viṣayatā* for otherwise it would not be a knowledge of…[67]

Now it is one of the cardinal tenets of the Nyāya epistemology that no knowledge that finds linguistic expression can go without a qualifier (*prakāra*). The qualifier may either be explicitly mentioned or remain implicit. Take the example: 'the floor (that is) with the pot' (*ghaṭavad bhūtalam*). Here of course, one of the qualifiers is the 'pot' (*ghaṭa*) which is mentioned; but there is another that is not mentioned, i.e. 'potness' ('*ghaṭatva*')*. This is only an example of a general truth that every knowledge that finds mention has an unmentioned qualifier though the unmentioned qualifier—which is either a universal or a not further analysable property—is apprehended, insofar as it remains unmentioned, in itself. Mention it, and it, on its part, refers back to an unmentioned qualifier. The point under consideration may serve as a useful reminder that for the Nyāya analysis of knowledge goes beyond the mere analysis of the linguistic expression and that we have to instal ourselves in the attitude of reflective introspection and recall the exact *anubhava* i.e. the phenomenological datum.[68]

Consider again the knowledge expressed in 'the floor with a pot' (*ghaṭavad bhūtalam*). We have said above that there the 'pot' is a qualifier (*prakāra*) and the 'floor' is a qualificandum (*viśeṣyā*). In other words, there is a *prakāratā* referring to the pot and a *viśeṣyatā* referring to the floor. The former is technically called 'the *prakāratā* attached to the pot' and the latter 'the *viśeṣyatā* attached to the floor'. Further analysis reveals however that

the matter is not as simple as that. The 'pot', though in one respect, i.e. in relation to the 'floor', is a qualifier, yet in another respect, i.e. in relation to 'pot-ness', is a qualificandum of which 'pot-ness' is the unmentioned qualifier. Similarly, the other element, the 'floor', reveals further complexity though with the difference that in both its aspects, it functions as a qualificandum: firstly, in relation to the unmentioned qualifier 'floor-ness' (*bhūtalatva*) and secondly, in relation to the mentioned qualifier 'pot'. Being without any qualifier aspect, the element of 'floor' functions in the knowledge under consideration as the primary qualificandum (*mukhya-viśeṣya*). Analysis of this knowledge reveals thus six components (leaving aside the relational ones):

  i.   a *prakāratā* attached to the potness,
  ii. a *viśeṣyatā* attached to the pot,
  iii. a *prakāratā* attached to the pot,
  iv. a *viśeṣyatā* attached to the floor,
  v.   another *viśeṣyatā* attached to the floor,
  vi. a *prakāratā* attached to the floorness.

These six components constitute a unity by virtue of two sorts of epistemic relations. One of these is called the '*nirūpakanirūpita*' relation and the other the '*avacchedaka-avacchinna*' relation, into the precise nature of which we need not enter in the present context. It is important to bear in mind that even for the Nyāya with all its analytical attitude the unity of a knowledge is not entirely analysable into discrete components.[69]

There seems to be disagreement amongst the Naiyāyikas on one vital issue, namely whether variation in the form of expression necessarily points to a variation in knowledge. Some say it does; others say it does not. But we may take a safer position and contend that perception, of all knowledges, being entirely object-determined, every difference in expression does not mean a variation in knowledge so far as perception is concerned. The same perceptual knowledge, for example, may be formulated either as '*ghaṭaviśiṣṭabhūtala*' or as '*bhūtalavṛttitvaviśiṣṭaghaṭa*'. In case of all other kinds of knowledge there is far closer relation between the linguistic form and the knowledge-form, the inseparability being maximum in the case of *śābda* knowledge. In any case the ultimate test in these issues is one's subjective report and not the objective linguistic event.

(b) The Nyāya Conception of Prāmāṇya

Since we are concerned with *prāmāṇya* in the sense of *pramātva* and not in the sense of *pramākaraṇatva*, we may as before safely avoid discussion of the concept of *pramāṇa* in the Nyāya system. We must however begin with the concept of *pramā* or true knowledge. Knowledge is generally divided into *pramā* and *apramā*.[70] *Apramā* or false cognition (including both error and doubt) is also knowledge. No attempt is made in the system to reduce error and doubt to true knowledge, nor is there any attempt to exclude them from the purview of 'knowledge'. What then is common to true cognition and false cognition? Uddyotakara answers: "the ability to manifest the general" (*sāmānya-paricchedakatvam*).[71] Vācaspati explains it thus: even the erroneous cognition 'This is silver' manifests the yonder object with its general features like whiteness, shining character etc. While this much is common to both, *pramā* has certain characters that distinguish it from *apramā*, and these characters constitute *prāmāṇya. Prāmāṇya* therefore is taken by. the Nyāya in the sense of that which distinguishes true knowledge from false, and not in the weak sense of being instrumental to practical behaviour (*pravṛttyaupāyikam*), for—as Vācaspati points out— practical behaviour depends upon the mere presentation of the object and does not wait for a true apprehension of it.[72] Practical behaviour may indeed follow even upon doubt.

Further, *prāmāṇya* is a property of knowledge, and not of the object of knowledge. For if it were a property of the object, an erroneous apprehension apprehending its object would also be true and besides any knowledge while apprehending its object would apprehend its truth as well, which however is not the case.[73] Moreover no such property is experienced in the object.[74] *Prāmāṇya* then is a property of knowledge, though not a generic universal or *jāti* for reasons which we shall examine later on.[75]

There seems to be an unbroken line of speculation in the Nyāya school regarding the nature of *pramā*, though with slight variations in emphasis. Vātsyāyana defines it as "whatever is knowledge of the object" (*yadarthavijñānaṃ sā pramitiḥ*[76]), but removes the ambiguity later on by speaking of it as "the knowledge of that as that" (*tasmiṃstaditi pratyayaḥ*[77]). Uddyotakara defines *pramāṇa* as "the cause of knowledge" (*upalabdhihetu*[78]). Vācaspati tries to make the definition more precise by

adding that here what is meant by the word 'pramā' is the knowledge that does not deviate from its object and that is other than memory.[79] Udayana in his *Pariśuddhi* also emphasises the character of *avyabhicaritatva*,[80] though in his *Nyāyakusumāñjali* he gives a simpler definition of 'pramā' as 'right apprehension' and as 'independent'.[81] Jayanta takes it to be such knowledge of the object that both does not deviate from the object and is free from doubt.[82] Śrīdhara defines it as a definitive awareness that is uncontradicted.[83] Vallabha defines it as "the true knowledge" and further defines it as "the knowledge of something as not being what is other than it" (*parānātmatayānubhavaḥ*[84]).

Most of these definitions are negative in character, and the negations are intended to exclude error, doubt and memory. The Mīmāṃsaka's device of defining 'pramā' as a true knowledge whose object was not known before and thereby to exclude memory from being called 'pramā' is not acceptable to the Naiyāyikas who prefer the less cumbrous way of defining with the help of the notion of independence. Memory has not the ability to manifest its object independently, but always does so through the via media of a prior experience, Vācaspati accepts the validity of the well known objection that if *anadhigatatva* be admitted as a character of *pramā* then in case of a series of knowledges of the same object, the second, third, and all succeeding members of the series become *apramā*. Udayana raises fresh objections against taking memory as *pramā* in his *Pariśuddhi*. But it must be noted that the eagerness to exclude memory is rooted more in the traditional refusal to accept it as a *pramāṇa* than in any intrinsic defect of memory. Vācaspati almost admits this conventional basis when he says "*"pramāṇaśabdena tasyāpāstatvāt... na smṛtiḥ pramā, lokādhīnāvadhāraṇo hi śabdārthasambandhāḥ*". Udayana, commenting on this passage, seeks to show that memory is not true, i.e. that it is *ayathārtha*, on the ground that the remembered past is not now. But in the long run he is forced to confess that even if it is *yathārtha* it is not independent.[85]

To exclude doubt, Jayanta explicitly includes in his definition the phrase "free from doubt", while Śrīdhara has to speak of "definitive knowledge". Error is sought to be excluded by such adjectives as "undeviating" or by the more roundabout device of Vallabha.

What is called for is a positive definition which is yet capable of excluding error and doubt. It goes to Gaṅgeśa's credit to have taken up the

simple account of Vātsyāyana and made it far more precise. '*Prāmāṇya*' is now defined as *tadvati tatprakārakatva*, a concept which we shall presently analyse. But before we do that we may review in brief the reasons why Gaṅgeśa rejects some other definitions, new and old. Some of the older definitions which were positive in nature made use of the notion of *yāthārthy a*. Gaṅgeśa rejects it on the very important ground that there could possibly be no resemblance (which is what is meant by the word 'yathā') between knowledge and its object: *jñāne ghaṭatvādinā yathāśabdārthasādṛśyābhāvāt*. This is a clear rejection of any kind of 'picture' or 'copy' theory of truth. Knowledge could not be a picture or copy of its object. The two are entirely heterogeneous in nature. In his *Prakāśa* on *Pariśuddhi*, Vardhamāna considers various possible meanings of '*yāthārthya*' and rejects them all.

In his chapter on the definition of truth (*pramālakṣaṇa*), Gaṅgeśa considers a series of definitions. Truth cannot be defined in terms of novelty (as the Mīmāṃsakas tried to do), for this is not what we ordinarily mean by 'truth', and also because this definition would not apply to the case of a series of true knowledges of the same object. Truth cannot be defined as the property of being uncontradicted experience, for the contradicting knowledge (*bādha*) is itself a true, though contradictory, knowledge. Gaṅgeśa is pointing to the fact that merely from the fact that p is contradicted by q it does not follow that p is false or that q is true. He also rejects the definition of truth in terms of coherence (*saṃvāda*), for coherence means nothing other than "being mentioned similarly in another knowledge" (*jñānāntareṇa tathā ullikhyamānatvam*), and this may be found also in cases of error. What he means is that there can very well be a coherent system of false cognitions. It cannot also be defined in terms of successful practice, for such a definition would not apply to cases of true knowledges where due to some reason or other no practice follows, i.e. to cases of *upekṣāpramā* where the knowledge simply is passed over and does not provoke any practical reaction. Further, successful practice may at best constitute a test but not a definition of truth. Truth cannot also be defined as the property of being experience of the real (*tattvānubhavatvam*), for an unreal is never apprehended, not even in error. Truth cannot also be defined as the property of being an experience whose qualifier is a property which is not the counter-positive of an absence residing in the qualificandum (*viśeṣyaniṣṭhātyantābhāvāpratiyogidharmaprakārakānubhavatvam*), for it

does not apply to a true knowledge of conjunction, for the conjunction, being on the general Nyāya view *avyāpyavṛtti* or of incomplete occurrence,[86] may be absent in the qualificandum (and thereby may be the counterpositive of an absence residing in the qualificandum). Nor can it be defined as the property of being an experience whose qualifier is not a property which limits the counterpositiveness of a mutual absence residing in the qualificandum (*viśeṣyavṛttyanyonyābhāvapratiyogitāvacchedakadharmāprakārakānubhavatvam*), and that for precisely the same reasons as above. For if a tree is one having conjunction with a monkey, it is also one having no conjunction with the monkey (in another part of the tree); so that even a right knowledge 'This tree is one having conjunction with monkey' has a qualifier namely 'conjunction with monkey' whose absence is in the qualificandum. It follows then that there is in the tree also a mutual absence (or, difference) whose counterpositive is 'one having conjunction with monkey', and the Hmitor of the counterpositiveness is the property of being the said conjunction which is also the qualifier of the true knowledge that the tree has the conjunction. Truth cannot also be defined as the property of being an experience which does not have a qualifier non-resident in the qualificandum (*viśeṣyāvṛttyaprakārakānubhavatvam*). The definition would not apply to the true knowledge 'These are a pot and a cloth', for here the qualifier 'potness' is absent in the cloth, and the qualifier 'clothness' is absent in the pot. It is also not the property of being an experience having a qualifier which is in the same locus as *viṣayatā*, for this property also belongs to the error 'This is a snake' where the qualifier 'thisness' is in the same locus as *viṣayatā*.

We have only given a few of the definitions which Gaṅgeśa rejects. The resulting definition is stated in two stages. First comes a simpler form: If x is in y, then the experience of x in y is true knowledge (*Yatra yadasti tatra tasyānubhavaḥ pramā*). One has to add, as the commentators do, that if x is in y in the relation R, then the experience of x as being in y in the relation Ris true knowledge. A more formal definition follows: true knowledge is an experience whose qualifier is such that it belongs to the object (*tadvati tatprakārakatvam*).

Let us suppose, the knowledge is 'S is p'. This knowledge has amongst others two qualifiers, 'S-ness'and 'p-ness' Now, if the knowledge is to be true then the qualifiers must really belong to S which is the qualificandum.

The definition includes one variable i.e. the word '*tat*' which occurs twice, so that what we have is a dummy schemata with empty places which would give rise to a determinate entity only when the empty places have been filled in i.e. when the variable has been given a value.[87] There is a further rather curious feature of the definition. One part of it refers to an ontological situation, the other to an epistemological. The expression '*tatprakārakatva*' refers to an epistemological situation, namely to the fact that the knowledge under consideration has *that* (*tat*) as its qualifier. The expression '*tadvati*' refers to a correlative ontological situation, namely to the fact that that which is the qualifier of the knowledge under consideration (also) *really* belongs to the object of that knowledge. One thing should be obvious even from this preliminary explanation: the entity designated by '*tadvati tatprakārakatva*' is a curious "hybrid" entity, to use A. N. Whitehead's expression. Truth is neither a property of the object nor a mere property of the knowledge. It is rather relational in nature and as such has to be defined with reference to both the relata, the object and the knowledge, and this is what Gaṅgeśa does.

Let us now see how this definition applies to cases of true knowledge and does not apply to cases of false knowledge. Take the case of a true knowledge. I know a piece of silver as silver. The knowledge is expressed in the form 'This is silver'. This knowledge has three qualifiers: 'thisness', 'silver' and 'silverness'. Now let us take the qualifier 'silverness' as the value of the variable '*tat*'. The knowledge in that case is one which has 'silverness' as its qualifier, it is *rajatatvaprakāraka*. Now since, ex hypothesi, the 'this' designates a real silver we can say that the *this* possesses silverness (or, is *rajatatvavat*). The knowledge therefore possesses the property of *rajatatvavati rajatatvaprakārakatva*, which is the same as the truth of this knowledge 'This is silver'.

Consider on the other hand a case of error. I mistake a piece of shell for silver. I express my knowledge in the judgment 'This is silver'. This knowledge has also 'silverness' for its qualifier. As regards the qualifiers there is nothing to distinguish right knowledge from error. The distinction then has to be sought for elsewhere, i.e. in the fact that in error the 'silverness' which functions as qualifier does not belong to the qualificandum *this*. In other words, the *this* is not *rajatatvavat*. The definition then does not apply to a case of error.

Let us take a case of doubt. A doubt by definition is a knowledge with two mutually contradictory qualifiers. 'Is this a man or not?' is an example of doubt which has amongst others two mutually contradictory qualifiers 'manhood' and 'absence of manhood'. Both of these cannot belong to the thing designated by 'this'. It is then easy to show that the doubt is not *tadvati tatprakāraka*.

It should also be obvious by now that no knowledge is wholly false. Every error, even doubt, contains an element of truth. With the help of Gaṅgeśa's definition we are in a position to give sense to this fact. In the ordinary sense of the words 'whole' and 'part', a knowledge is not a whole with parts. But now we can say that with regard to some one of its qualifiers at least a knowledge must be true. In other words, it is possible in case of every knowledge to give a value to the variable *'tat'* such that the knowledge under consideration may be shown to possess *tadvati tatprakārakatva*. This is possible, for example, in the above illustrations by choosing 'thisness' which certainly belongs to the *this*.[88] In the case of doubt one could show even more than that; if one of the two mutually contradictory qualifiers does not belong to the qualificandum the other one does. Though a false knowledge is thus not false in all respects, a true cognition must be true in all respects, i.e. must have no qualifiers which do not belong to the qualificandum.

In order to bring out the full implications of Gaṅgeśa's concept of truth it is necessary to emphasise, even at the cost of repetition, that truth on this theory is a "hybrid" entity, having both epistemic and ontological components. With this we have to exclude any possibility of so interpreting *'tadvati tatprakārakatva'* as to reduce it to a purely epistemological property. It is possible, for example, to construe *'tadvati'* as meaning *'tadvadviśeṣyakatve sati'* meaning 'having a *viśeṣya* which possesses *tat*'. *'Viśeṣyatā'* being an epistemological notion, the entire notion becomes an epistemological one, and the force of Gaṅgeśa's definition is gone. It has been attempted, for example, by Madhusūdana Sarasvatī in his *Advaitaratnarakṣaṇam*, to show that in this sense *tadvati tatprakārakatva* is common to both truth and error. This is not surprising, for Gaṅgeśa's notion has been diluted thereby.

Two comments may be made in this connection. In the first place, even on this interpretation the ontological claim is not completely eliminated. *'Viśeṣyatā'* is an epistemological notion no doubt, but the idea of

'tadvattva' seems incurably ontological.[89] Secondly, the analysis of the definiens into *'tadvadviśeṣyakatve sati tatprakārakatva'* is not correct for still another reason. It does not fully express the unitary nature of the concept of truth. The definiens should then be more accurately analysed, or better, explicated. The explication may proceed through the following stages:

1. *Tadvadviṣayakatve sati tatprakārakatva* (= the property of having 'that' as its qualifier and an object which possesses the *that*)—This is virtually useless, for even error has an object possessing the *that*. It depends upon what is to be called the object of a knowledge. No doubt, 'object' is an epistemological notion. The Prābhākaras then have some justification in claiming that the object of the alleged false cognition 'This is silver' is the silver.

2. *Tadvadviśeṣyakatve sati tatprakārakatva* (= the property of having 'that' as its qualifier while the qualificandum possesses the *that*)—This seems to be the conception of truth of Murāri Miśra and is claimed by him to be something which can be apprehended by introspection, for *viśeṣyatā* like *prakāratā* is an epistemological entity. If *tatprakārakatva* can be apprehended by *anuvyavasāya*—as the Naiyāyikas also admit—then *tadvadviśeṣyakatva* may also be so apprehended. Further, consider this case of a false cognition 'These two (a cloth and a jar) are a jar and a cloth', wherein the cloth is taken to be a jar and vice versa. (It is more natural to make such a mistake in the case of a piece of shining shell and a piece of silver. Certainly more suitable cases may be thought out.) Here the qualificandum 'jar' possesses the qualifier 'jarness', and the qualificandum 'cloth' possesses 'clothness'. Nevertheless the cognition is an error, for the cloth has been known as jar and the jar as a cloth. The definition as explicated under 2, illegitimately extends to such cases of error.

3. *Tadvadviśeṣyakatvāvctcchinnatatprakārakatva* (= the property of having 'that' as its qualifier which is limited by the property of having a qualificandum which possesses the *that*)—This definition avoids the difficulty last mentioned under 2. In that example, 'clothness' as a qualifier is not limited by the fact of the cloth being the qualificandum, and so also in the case of the other qualifier. The qualifier must qualify with regard to the right qualificandum namely the qualificandum which possesses that property,[90] Further this explication succeeds in bringing out the unitary

nature of the notion of truth by making the two components *'tadvattva'* and *'tatprakārakatva'* limit or determine each other.

4. Further, the explication should also take into consideration the relation in which the property serving as the qualifier belongs to the qualificandum. The qualifier also must qualify in the same relation, or better, the qualifierness of that qualifier must be limited by that relation. This helps to exclude a knowledge 'The jar is in its parts in the relation of conjunction' from the purview of 'true knowledge', for according to the Nyāya ontology the jar is actually in its parts in the relation of inherence and not in the relation of conjunction. The resulting explication becomes *'tatsambandhāvacchinnatadvanniṣṭhaviśesyatānirūpitatat-sambandhāvacchinnatanniṣṭhaprakāratāśālijñānatva'* .

It is important not to lose sight, in the midst of this mystifying jargon and complexity, of the central fact that truth according to this definition is a unitary notion having heterogeneous components, not merely epistemological. The relevance, in fact the central place, of this fact for the Nyāya theory of *parataḥprāmāṇya* will be brought out in the next part of this introductory essay.

(c) The Nyāya Theory of Parataḥprāmāṇya

With the underlying notions of knowledge and truth thus explicated we may now attempt a formulation of the Nyāya theory of *parataḥprāmāṇya*. As in the case of the *svataḥ* theories, this theory has also two aspects, one concerns the origin of truth and the other its apprehension. In its first aspect the theory holds that the truth of a knowledge is not produced by the same conditions that give rise to the knowledge itself. It is rather produced by some extrinsic circumstances, some additional factors, known as *guṇas* or excellences. In its second aspect the theory holds that the truth of a knowledge is apprehended neither by that very knowledge, nor by the *first* apprehension of that knowledge—be that apprehension an introspection as with the Miśras or an inference as with the Bhāṭṭas—but only[91] by a subsequent inference which ensues either upon the confirmatory knowledge or upon the successful termination of the practical behaviour to which the knowledge under consideration leads us, or by the mark of *'tajjātīyatva'* to be explained below.

Amongst the host of arguments which the Nyāya advances in support of its contentions, two are most important. The first is in support of the extrinsic origination of *prāmāṇya*. First explicitly formulated by Udayana, it states that if *prāmāṇya* originated from the same conditions that give rise to the knowledge quâ knowledge, then even an invalid cognition would come to possess *prāmāṇya* since it too has the same originating conditions, and that is plainly absurd. The second argument is in support of the *parataḥ* apprehension of *prāmāṇya*. Also first formulated by Udayana, though made far more precise by Gaṅgeśa, it argues that if with the first apprehension of a knowledge we also know it as true, then it would be impossible to have any doubt regarding the truth of that knowledge soon afterwards. It is not our purpose to take sides and to decide if these arguments are tenable or not. It is rather our intention to bring out the exact nature of the controversy. We shall examine the nature of the arguments in the next sections. For the present, we are interested in making the Nyāya contention more precise, and for this purpose it is necessary to bear the two arguments, especially the second one, in mind.

The Nyāya is not contending that when a knowledge comes into being, it is at the beginning neither true nor false. Such a contention would have been plainly absurd. It rather contends that every knowledge is either true or false, right at the beginning. Only its truth or falsity—whichever may be the case—is due to a set of conditions that are different from those other conditions that give rise to the knowledge: in the case of truth, these conditions are called *'guṇas'* , in the case of falsity they are called *'doṣas'* . The legitimacy of this distinction would be questioned in a later context. For the present, let us confine ourselves to the second aspect of the theory and seek to make it as much precise as possible.

Since according to the second of the above mentioned arguments the truth of a knowledge is not apprehended *ab initio*, for if it were there would have been no room for subsequent doubt, it seems to follow that in those cases where no such doubt takes place truth is apprehended *ab initio*. These cases in fact put the Naiyāyika to great embarrassment. There are at least three such cases; inference, confirmatory knowledge or *phalajñāna* and knowledge with which one has acquired sufficient familiarity (*abhyāsadaśāpanna jñāna*).

As regards inference, Vācaspati clearly admits that it is known right from the beginning as valid, for amongst the originating conditions of inference

there is a certainty about the universal major premise. There is no room left therefore for having any subsequent doubt in the validity of the inference.[92] Udayana is not so confident and takes up a more halting attitude. He is willing to grant that inference arises by manifesting the suchness of the object.[93] Most reluctantly he concedes that truth is here apprehended *ab initio*. Yet he makes a desperate attempt to reconcile this with the *parataḥ* theory by suggesting that in such cases both may be true.[94] The Navya Naiyāyikas take up a more uncompromising position and deny that the truth of an inference is ever apprehended *ab initio*. For them there is always the possibility of doubt. Under such circumstances one has to review the entire Nyāya theory of inference in order to decide which of these attitudes is more consistent therewith. For the present however one or two features of the theory would help us in assessing the situation.

It is well known that the Nyāya does not draw any distinction between the psychological process of inferring and the logical process. The two in fact are taken to coincide. An inference quâ inference is a logically valid inference. There is strictly speaking no fallacious inference. The so-called *hetvābhāsas* are rather hindrances (*pratibandhakas*) to inference than errors of inference.[95] An inference then as a rule is a valid inference and does not permit any doubt about its validity. But at the same time one may very well be in error about the universal major, and though one makes an inference based upon a certain belief in such a major premise it is likely that on a subsequent occasion one comes to doubt the truth of the major premise and therefore also of the conclusion it had led to. Thus we find on the one hand that in the process of inference one cannot err and yet on the other hand one might possibly have started from a false universal major. That one cannot err in the process of inference is a curious doctrine held by the Naiyāyika and is due to his further belief that the psychological process never deviates from the logical. But it may quite well be that this belief is largely based on a linguistic decision not to call those processes of thought 'inference' which also do not conform to the logical standard. It seems therefore that if by 'inference' be meant the conclusion arrived at it is liable to be doubted as soon as one, for any reason, is led to doubt the truth of the universal major. If however by 'inference' be meant the process of inferring it is intrinsically valid on this theory. Vācaspati's contention contains this much of truth that unlike perception and *śabda* inference arises out of a sense of certainty, so that the least doubt in the truth of the universal major would be frustrating

and would not let the inference take place. An inference therefore arises with an apparently unshakable certainty.[96] If by *prāmāṇya* be meant this sense of certainty then certainly it is intrinsic to inference. But the real issue is, whether *prāmāṇya* in the sense of *tadvati tatprakārakatva* is so or not. At least Vācaspati has no sure ground for saying that it is so. I would think that for Nyāya it is not so and this supposition is likely to fit in better with the Nyāya theory of truth.

The eagerness on the part of some Naiyāyikas like Vācaspati to accord to inference an intrinsic truth is due to an embarrassment to which they are otherwise likely to be subjected from another source. The Naiyāyikas believe, as we have said before, that the truth of a knowledge is apprehended by a subsequent inference. Now it is asked by the Mīmāiṃsaka, how is the validity of that inference to be established? If by still another inference, how is this second inference to be validated? In order to avoid such an unpleasant infinite regress some would like to treat inference as intrinsically valid and as in no need of validation. But, as we have seen, the Naiyāyika need not go to that extent of holding that its *tadvati tatprakārakatva* is apprehended[97] right from the beginning. He might adopt a more halting attitude and say that inference is accompanied by a sense of certainty that comes to be questioned only if the universal major is for some reason or other doubted.

Let us now consider the confirmations or the *phalajñana*. Here again an embarrassment similar to the above awaits the Naiyāyika. For if the inference through which the truth of the first knowledge comes to be apprehended depends upon the confirmation or the *phalajñana* (e.g. quenching of the thirst in the case of a perception of water), it may quite well be asked, how are these confirmations themselves to be validated? In reply, Vācaspati points out that the *phalajñana* is never questioned by the discerning persons.[98] But why? The answer given is that its familiarity leads us to infer its undeviating character through the mark of *tajjātīyatva* (the property of belonging to that class).[99] Thus instead to taking them as intrinsically true and as self-validating[100], Vācaspati includes them in a much wider class of 'familiar' cases whose sheer familiarity rules out any need for further validating them. The entire idea of familiar cases, cases that have become *abhyāsadaśāpanna* and whose truth is immediately inferred—without waiting upon confirmation—through the mark of *tajjātīyatva* is

shrouded in obscurity and Udayana's attempts to throw light on this difficult notion hardly succeed in giving a completely satisfactory account.[101] It is obvious that *tajjātīyatva* can serve as a mark of truth only when the knowledge under consideration has become a familiar case. Further this knowledge is a fresh occurrent. To say that it is a familiar case could then only mean that it is a knowledge the like of which has been experienced before and has been known to be true. What apparently distinguishes these cases from new knowledges is that in such cases one takes them for granted and entertains no doubt about their truth whereas a new knowledge demands to be confirmed. But there are two different notions involved, the notion of 'familiarity' and that of 'belonging to the same class', notions that evade logical precision. What is the test of familiarity? How many times must one have similar experiences in order that they may become *abhyāsadaśāpanna*? It is not possible to lay down any general rule. One is unavoidably led to the conclusion that that knowledge is called 'abhyāsadaśāpann' in whose case no doubt arises soon afterwards, so that to say that the *abhyāsadaśāpanna* knowledge does not demand validation appears tautological. A further inference based on the mark of *tajjātiyatva* is not called for. One does not infer anything, only one does not in such cases as these doubt. Besides, what does the word 'tat' in 'tajjātīyatva' mean? Not certainly the class of true knowledges, for, as Udayana points out, that exactly is what is to be proved by the supposed inference. It does not mean the class of knowledges that give rise to successful practice, for the mark is supposed to operate, if the supposed inference is not to be pointless, prior to confirmation through successful practice. Nor is *tajjātiyatva* any further unanalysable property in such knowledge which we perceptually discern, for no such property is so discerned. Udayana's solution after rejecting these alternatives is as follows: Every knowledge is of some object and the determinations of the object also serve to mark out the knowledge. Thus a body is characterised by hands and feet, etc. Now if I have a knowledge of something having hands and feet, etc. and say 'It is a body', my knowledge is thereby included under a familiar class of knowledge: in this sense *tajjātiyatva* = *tattadupādhiviśiṣṭatattadanubhavatva*.[102] This is a good reflective account of why we take certain knowledges for granted, but it is not corroborated in our unreflective acceptance of a familiar case. Further, if this is the meaning of the mark in the supposed inference then this supposed inference hardly

differs from the inferences used to establish the truth even of the unfamiliar cases. Gaṅgeśa also makes use of the mark of *tajjātiyatva* in the series of examples of the latter sort of inference and gives the following example —"This knowledge of the body is true, for it is a knowledge of the body in what possesses hands and feet, etc."[103] This shows that either there is no inference at all in the case of a familiar knowledge or if there is any in the supposed manner the supposed sort of inference also takes place in the case of knowledges that have not yet become quite familiar!

Thus we find that in none of these knowledges truth is apprehended, on the Nyāya theory, right from the beginning. In every case therefore there is scope for and the necessity of further validation or correction. It has of course to be admitted that the need for validation is the most pressing in the case of 'non-inferential knowledges that are not confirmations and that are of the unfamiliar sort'.

There are yet two other cases where the Naiyāyika is often led to recognise intrinsic truth. These are the knowledge of the substantive (*dharmijñana*) and the *anuvyavasāya* of the primary knowledge. In both cases, again as before, one of the motives for recognising some sort of intrinsic truth is to avoid infinite regress. In the former case, there is besides a logical basis which has been examined before. Strictly speaking, this need not lead us to a revision of the *parataḥ* theory that in all knowledge truth is extrinsic, for the so-called *dharmijñana* is not a complete unit of knowledge by itself but is always a constituent of a complete knowledge. If however it be regarded as a possible complete knowledge expressible in the form 'this' or 'This is this', then its infallibility is merely an analytic consequence of its trivial character.

With regard to *anuvyavasāya* the matter is different and it is not at once clear why it should be regarded as infallible. Both Vācaspati and Udayana emphasise that it is never found to err and that hence there is no room for doubt. "No one who does not have a knowledge introspects 'I am knowing'; no one has the introspection 'I am knowing a silver' when in fact he has knowledge of a shell."[104] Vardhamāna adds, "No one has an introspection of a knowledge when in fact he has a state of feeling": All that this empirical argument proves is that we do not generally err in our introspection and that therefore we do not generally doubt its truth. There is besides little practical reason that could stimulate such a doubt. Vardhamāna rightly remarks, and is here closer to the spirit of the Nyāya, that by calling

all such knowledge *svataḥpramā* what is meant is that there is in such cases no initial apprehension of falsity,[105] and hence no initial doubt to start with.[106]

IV. CRITICAL EXAMINATION OF THE ARGUMENTS

(*a*) The *Utpatti* or origination of truth:—

One of the two questions that have been asked is, what is the cause of the truth of a true knowledge? Do the same causes which give rise to a knowledge also produce its truth, or are additional factors needed for the latter purpose? The *svataḥ* theory holds that the truth of a knowledge is produced by the very same conditions which cause that knowledge itself. The *parataḥ* theory holds the opposite view, namely that additional factors, called by the theory 'gunas' or 'excellences', are needed to make a knowledge true.

Now, the issue about the apprehension (*jñapti*) of truth is, it must be confessed, more intelligible to us than that about the origin (*utpatti*) of truth. In Western theories of truth two questions are discussed: one of them concerns the nature and the definition of truth (*pramālakṣaṇa*) and the other concerns the test of truth. The latter question is no doubt included in the problem of *jñapti*. But the peculiarly Indian question about the origin of truth, viz. about the originating causes of truth, is somewhat difficult to grasp unless one instals oneself in the peculiarly ontological-causal attitude which prevails in most Indian schools, especially the Nyāya-Vaiśeṣika. Even the epistemology is not free from causal considerations. Knowledge is an occurrent, and like all occurrents it arises out of certain colio cation of appropriate causal conditions. The same would hold good of true knowledge, which is a species of knowledge. It is sensible therefore to ask, out of what causal conditions does true knowledge arise? It should be borne in mind that the Nyāya conception of *pramāṇa* is both (*i*) the conception of the various kinds of true knowledge, and also (*ii*) the conception of the *causes* of such kinds of true knowledge.

It may be asked, can one speak of the causes of truth itself? True knowledge may have an origin and so may have causal antecedents. But truth being that which is common to all true knowledges and which at the same time marks them off from all false cognitions could not be said to have a causal origin. An individual human being is born; a particular instance of red is caused. But manhood and redness do not have causes, they are not simply things of which a causal enquiry can meaningfully be made. They are eternal universals. Does not the same hold good of truth? Of course, *guṇas* of finite substances are causes, but truth is not a *guṇa*, for knowledge, itself a *guṇa*, could not possess another *guṇa*. Truth rather looks like a universal and if it were really so it would be like all universals uncaused.

The Naiyāyikas therefore proceed to show that truth is not a universal. There are chiefly three arguments which are advan ced to prove that truth is not a true generic universal (*jāti*).[107]

1. Truth and immediacy of perception are involved in *sāṅkarya*, they are overlapping classes. Truth is present while immediate perceptuality is absent in any instance of valid inference. Imme diate perceptuality is present while truth is absent in any instance of erroneous perception. Both are again present in right perce ption. Thus the two characters, though they coexist in some cases, are not related as pervader and pervaded. They are not therefore true generic characters (*jātis*), for *sāṅkarya*, as is well known, is one of the *jātibādhakas*; two *jātis*, if they coexist, must be related to one another as pervader and pervaded.

2. Further, a *jāti* should be *vyāpyavṛtti* (or must have com plete occurrence, in the language of Ingalls). It cannot be that a thing is in one part an instance of one *jāti* and in another not. if a *jāti* inheres in an individual it must be in it as a whole, and not in parts. But in every instance of error there is an element of truth. Every knowledge, even a case of error, is true insofaras the substantive (*dharmin*) is concerned. Therefore both truth and the absence of truth inhere in the same individual, which is not permissible in the case of a true *jāti*.

3. If truth were a *jāti*, it would always be mentally perceived whenever the appropriate instance is. But that is not always the case, and moreover such a possibility would render any doubt about truth inexplicable. The assumption of truth as a *jāti* is incompatible with the *parataḥ* theory not only with regard to *utpatti* but also with regard to *jñapti*.

It would be by now obvious that these arguments rest on the two highly controversial notions of *sāṇkarya* and *vyāpyavṛttitva*, notions about which even the Naiyāyikas are not in perfect agreement amongst themselves. If *sāṇkarya* is not regarded as a *jātibādhaka* and if the notion of *vyāpyavṛttitva* is suitably defined so as to render truth *vyāpyavṛtti* with regard to that component where it does inhere, then there appears to be no overriding objection against taking truth to be a *jāti*, excepting that such an admission would render the *parataḥ* theory false, at least with regard to the *utpatti* of truth.

The Naiyāyikas may try to save the theory in either of two ways: They may contend that it is not truth with whose origin they are concerned, it is rather the instance of true knowledge. What has *utpatti* is not *pramātva* but *pramā*. This seems to con form to Gaṇgeśa's own formulation of the *utpatti*-thesis: "*Ut-padyate'pi pramā parato na tu svato...*". The thesis then is that the causes of a true knowledge are more than the causes of knowledge quâ knowledge: this more that is involved is called '*guṇa*'. The only difficulty about this way out is that it introduces an undesirable cleavage between the *utpatti* and the *jñapti* theses, the former being concerned with truth (*jñānaprāmāṇya*) and the latter with true knowledge (*pramā*). It is certainly desirable that both should pertain to the same thing. But this is not a difficulty that would ruin the theory.

The other way out of the difficulty pointed out earlier is to stick to the contention that truth itself originates. In that case the Naiyāyika would have to say that there is no truth in general, that truth in each case is a different entity, and not being a generic universal it itself originates. Truth in general, namely *tadvati tatprakārakatva* is not itself an entity. It is a dummy schemata containing variables. But *vahnitvavati vahnitvaprakārakatva* is an entity, and it originates with every true knowledge of fire as fire. The Naiyāyika has then to reinforce his arguments for pro ving that truth (general or specific) is not a *jāti*, and he should make his arguments independent of the controversial notions of *sāṇkarya* and *vyāpyavṛttitva*. But this, it would seem, has not been done satisfactorily enough. There is something deceptive about the thesis that truth, even in the specific sense, originates. A true knowledge considered as an event in time has an origin. Of it surely one may debate whether its origin is *svataḥ* or *parataḥ*. But the same could not be said of its truth. The knowledges of fire as fire may come and go, but *vahnitvavati vahnitvaprakāra katva* is what is common to them

all, and surely it is not some thing which may be said to have an origin in time.

It would seem therefore that the entire *utpatti* thesis about truth (as distinguished from true knowledges regarded as events) is misconceived, and solutions either way—the *svataḥ* or the *papataḥ*—are equally pointless. It must be said though that the *svataḥ* theory at least sees part of the truth, namely that truth does not originate separately. It fails to see at the same time that truth does not originate at all, and in this sense is intrinsic to a knowledge. I think a consistent advocate of the *svataḥ* theory should refuse to admit the very problem of *utpatti*.

Considered in the light of these remarks, the entire controversy about *guṇa* vrs. *doṣābhāva*, namely, whether truth is caused by special excellences or if it is caused by the general causes of knowledge plus mere absence of frustrating circumstances, seems wide of the mark, the arguments and counter-arguments being offered more out of zealous attachment to official dogmas rather than out of any consideration of the facts themselves.

Let us now have a look at those arguments and counter-argu ments themselves, not so much to decide whether they are valid or otherwise, but to see their relevance and phenomenological basis.

First, there are the following arguments. If mere absence of *doṣa* were the cause of true knowledge, then, argues the Naiyāyika, it cannot be explained why in the case of the knowledge 'The conchshell is yellow' there should be true apprehension of the conchshell as a conchshell in spite of the presence of *doṣas* like defects in the visual sense-organs. Further, *doṣas* are of an infinite number, and absences of them would be equally numerous. Would it not be more economical if instead of such an array of them we admitted a few *guṇas*?

'But', xreply the Mīmāṃsakas, 'it is no better with the *guṇa*-hypothesis. You hold that in perception, the *guṇa* is *bhūyovayav-asannikarṣa* or contact of the senses with the parts of the object. But even if such contacts were there, presence of *doṣas* like defects in the sense-organs frustrates the effect, and produces the wrong perception, e.g., of the conchshell as being yellow. The cause of true knowledge is then not a *guṇa* but absence of such frustrating circumstances. As to the superfluity of assumptions, the *guṇa*-hypothesis is worse off. Absence of *doṣa* has in any case to be admitted, and over and above that you admit a *guṇa*'.

It is interesting to note the peculiar nature of the arguments. It is agreed that a knowledge that is erroneous is only partly so, there being always some qualifier with regard to which the knowl edge is true. In the knowledge 'The conchshell is yellow', we have truth with regard to the qualifier 'conchshell-ness' though error with regard to the qualifier 'yellowness'. Now to argue, as the Naiyāyikas do, that if in spite of the presence of *doṣas* the knowledge could be true with regard to one of its qualifiers then the absence of *doṣa* could not be a cause of truth, is to overlook the fact that a *doṣa* is a *doṣa* only in a certain context, that the *doṣa* which distorts colour vision is not usually a *doṣa* with regard to recognition of substances. There is then absence of *doṣa* so far as the perception of the shell is concerned, and understanda bly there is truth so far. Similarly, what is *guṇa* is so only in a certain context and may not be so in another. What is *guṇa* then insofar as perception of a conchshell as a conchshell is con cerned is not a *guṇa*, insofar as it does not guarantee the truth, insofar as colour perception is concerned. One may then point out as against the Mīmāṃsaka that the *guṇa* which could gen erate a right perception of the colour of the conchshell was really absent, and there were *doṣas* of course in addition; hence the aberration.

The Naiyāyika continues to argue, however. If a true knowl edge is caused by absence of *doṣa* plus the generic causes of knowledge, then does not the Mīmāṃsā thesis amount to accept ing that the origin of true knowledge is *parataḥ*, for it amounts to introducing an extra factor other than the generic causes of knowledge? But the Mīmāṃsaka replies that it need not be so interpreted. When he denies that there is any extra factor, he is simply denying the agency of any other *positive* factor. Absence of *doṣa* however is a negative factor and so. the supposed self-contradiction does not exist. Some Mīmāṃsakas are more cautious. They point out[108] that though there is absence of *doṣa* in the case of a true knowledge this absence is not to be counted as a cause of the true knowledge. Its sole function is to render error impossible; in that case, the true knowldege would arise out of the same conditions as also produce the knowledge itself. They may even go so far as to hold that *guṇas* may also be present, but the function of the *guṇas* is merely to prevent *doṣas* from coming in; in any case neither the *guṇas* nor the absence of *doṣas* could be counted as the causes of the true knowledge.

The Naiyāyika has two replies to all this. He may in the first place say that there is no reason why an absence should not be a cause. Secondly, he may remind the Mīmāṃsaka that sometimes the *doṣa* itself is a negative factor, e.g. absence of light in visual perception. But in that case the absence of the *doṣa*, being the absence of an absence, would be positive so that if it were admitted to be the cause of a true knowledge, truth would be *parataḥ*.

The arguments are again extremely unhelpful, and one is left with the suspicion that if both *guṇas* and absence of *doṣas* are present in the case of a true knowledge it is very much a matter of decision which one of these is to be ranked as the extra ordinary cause of it and which one as a merely auxiliary, though necessary factor.

The very concepts of *guṇa* and *doṣa* are riddled with difficulties. The Mīmāṃsakas rigthly insist on the fact that there is no generic character of *guṇatva* i.e. no generic property common to all *guṇas* by virtue of possessing which they are *guṇas*. But is it any better with the concept of *doṣa*? Does not the Mīmāṃsaka himself admit that *doṣas* cause errors even though he is not able to produce a satisfactory definition of what makes a *doṣa* a *doṣa*? If so, why should he object to the Naiyāyika's contention that *guṇa* is the cause of a true knowledge, even though a satisfactory definition of *guṇa* is similarly lacking?

Gaṅgeśa's strongest argument, the one with which he begins his chapter on the origin of truth, is however this: there is no generic effect which is unaccompanied by specific characters.[109] There is no man in general, there is either an Indian or an Englishman. There is no knowledge in general, there is either true knowledge or false knowledge. Therefore, there is no generic cause as such. The generic cause is always accompanied by the causes of the species. There is no cause of knowledge in general without there being also those specific factors which give rise to either truth or error. Where there is neither *guṇa* nor *doṣa* there is not even the causes of a knowledge. Truth and error are the two species of cognition, therefore there must be a difference in their respective originating conditions. "*Tasmāt pramāpramayor-vaicitryāt guṇadoṣajanyatvam*".

The Mīmāṃsaka agrees that there is either true knowledge or false cognition, so that there is no knowledge in general, no knowledge in other words which is neither true nor false. He also agrees that since true knowledge and false cognition are hetero geneous effects, there must be a difference in their originating conditions. Only he construes the difference

in another way. He contends that there is either cause vitiated by defects, or the same cause free from the defects, either *duṣṭakāraṇa* or *doṣara-hitakāraṇa*: in the former case there is error, in the latter case there is truth. There is no quarrel therefore insofar as the principle which Gaṇgeśa uses is concerned, the difference arises in the subsequent application of it. There is however a deeper difference, and this concerns the very conception of knowledge. For the Nyāya, truth and error are two *species* of knowledge. Not so, strictly speaking, for the Mīmāṃsaka. For the *svataḥ* theory, we may say, true knowledge is nota species of knowledge, it is knowledge in the proper sense. Error is not just another species, it is an aberration, a distortion, caused by the presence of vitiating circumstances. The difference then being deeper down than it would seem at the first sight, the arguments and counter-arguments offered may be regarded as of little value ex cepting that they *may* suggest to us where exactly the root of the difference lies. If we can lay our finger on that, we may have made substantial gains.

(*b*) The *jñapti* or apprehension of truth: —

It has been said that for us the issue pertaining to the appre hension of truth is more important and also seems more relevant to theory of knowledge as a whole. We may now turn to the arguments advanced by both the sides to the controversy, our aim being to get down to the roots of the matters.

The main argument of the Mīmāṃsaka against the Nyāya theory consists in showing some kind of infinite regress as a consequence of the theory. This may be shown in various ways. It may be argued that if the truth of a knowledge K_1 needs to be verified by another knowledge K_2, then K_2 can do this job only if it itself stands confirmed, and that needs another knowledge K_3. But this process of validation shall have no end, and we shall need K_4, K_5,…*ad infinitum*. In practice however the Naiyāyika stops short of this, and in doing this he is not con sistent. He contends, for example, that the knowledge that there is water over there before me is confirmed when I go over there and quench my thirst. But he does not see that the quenching of thirst, which confirms the knowledge of water, needs itself to be validated. Or, the Mīmāṃsaka may argue that unless the person seeing water were certain about the truth of what he knows he would not

take the trouble of walking up the distance in order to quench his thirst. Even if in this case he does make an attempt, in cases where the appropriate *pravṛtti* would need great effort a person not certain of the truth of what he knows would not be persuaded to act. He would certainly not act unhesitatingly. There would be no *niṣkampa pravṛtti*. The argument then would be that successful practice cannot confirm the truth of a knowl edge, for the very possibility of unwavering practical behaviour presupposes a prior certainty of the truth of the knowledge which provokes the activity.

To all these arguments, the Naiyāyika may reply in various ways. He may concede, as said earlier, that he is not against ascribing some kind of intrinsic truth to the final confirmatory experiences. He might do so in a somewhat weak sense of 'in trinsic', namely in the sense that in their case there is no possi bility of error, no occasion for doubt, and hence no need for further confirmation. The process of confirmation would thus come to an end. There would be no infinite regress. This I think is a fairly good reply so far as it goes. The Naiyāyika is not in consistent in holding this view for he may, as also pointed out earlier, suitably modify his thesis and restrict it only to those cognitions which provoke activity and which have not yet become familiar. In all other cases he may concede an intrinsic truth in rather weak sense.

But a more interesting reply is suggested by Gaṅgeśa (para 52). The Mīmāṃsaka's argument makes two presuppositions. It is assumed that a knowledge cannot give us certainty about its own object unless its own truth is ascertained. It is then argued that K_1 cannot give us certainty about its O unless the truth of K_1 is ascertained which would need another knowledge K_2. But by the same logic K_2 cannot ascertain the truth of K_1 unless its own truth were ascertained by another knowledge K_3. Gaṅgeśa rejects this assumption as unfounded. It assumes more than what is warranted by facts. A knowledge whose truth has not been ascertained may very well give us certainty about its own object. K_2 may confirm K_1 without itself being confirmed. We might very well know an object without knowing that our knowl edge of that object is true. To suppose that this is not possible is to assume that every knowledge, to be knowledge, must be known to be true. But this is begging the issue. The Mīmāṃsaka shows an infinite regress in the Nyāya position only because he impli citly assumes

the truth of his own position. Given the Nyāya conception of knowledge, the supposed consequences do not follow.

The other presupposition of the Mīmāṃsaka's argument is the belief that a knowledge can give rise to unwavering activity only if the truth of the knowledge has been ascertained. Certainty about the truth of a knowledge is a necessary condition of the possibility of unwavering activity appropriate to that knowledge. Gaṅgeśa again rejects this assumption. He again economises and assumes less than the Mīmāṃsaka. It is not necessary that the knowledge should be known to be true. It is enough that it should not be known to be false. A knowledge causes appropriate activity if the knowledge is not known to be false. It need not be, over and above this, known to be true. This again I think is a positive gain in philosophical insight. Ascertainment of the truth of the knowledge may be necessary if the knowledge is followed by doubt about its truth. The doubt has to be dispelled by a certainty. For this, confirmation is needed. But otherwise we may do without confirmation.

Against this contention of Gaṅgeśa two kinds of objections have been raised.[110] It has been urged in the first place that if truth is not apprehended and if falsity also is not apprehended then there would be doubt and therefore no unwavering activity. But I do not think this objection is tenable. Doubt of course requires amongst other conditions non-perception of the two alternatives (*viśeṣādarśand*), but it does not follow that where there is non-perception of two mutually contradictory properties there would be doubt. It is also necessary that the two alterna tives should be remembered. Gaṅgeśa is not contending that the two possibilities of truth and falsity are remembered but neither of them is perceived. He is only saying that a primary knowledge causes appropriate activity if it is not simply known to be false. This does not transform it into a doubt about its own truth! It is also argued that the Naiyāyika is actually exposing himself to an objection which he usually urges against the Prābhākara school of Mīmāṃsā. It is well known that according to the latter error is not a positive cognition but really consists in two different cognitions plus a non-apprehension of their distinction. As against this the Naiyāyikas urge amongst other points that mere non-apprehension of distinction cannot cause *pravṛtti*. What is needed is a positive apprehension of relation. Now however the Naiyāyikas themselves seem to be contending what they have else-where regarded as impossible. They now say that *pravṛtti* is caused by

mere non-apprehension of falsity! I do not think that this point is worth much, for the analogy between the two cases is not correct. For the Prābhākara the cause of *pravṛtti* is mere non-apprehension. For the Naiyāyika, the cause of *pravṛtti* is a posi tive knowledge plus a non-apprehension of its falsity, not a mere non-apprehension.

Gaṅgeśa thus effectively answers the charges of the Mīmāṃsaka. But he does more: he turns the table back upon the Mīmāṃsaka and levels the same charge of infinite regress against him (para 52). Without stopping to consider these we may turn to consider the Naiyāyika's arguments against the Mīmāṃsaka.

One common objection against the *svataḥ* theory of appre hension of truth is that if a knowledge were right from the beginning known as true then it could not subsequently be discovered to be false. This objection would have been decisive if it was combined with the *svataḥ* theory of the origination of truth. For if truth did really originate in it, it could not later on turn out to be false. Taken merely as a theory of knowledge of truth, the objection is not tenable. It may be replied that though a knowledge is always at first apprehended to be true, it may, owing either to the discovery of a *doṣa* in the cause or to sub sequent contradiction, be afterwards found to be false.

The main argument of Udayana and Gaṅgeśa against the *svataḥ* theory is a special case and a stronger version of this objection, and therefore should be considered separately. Doubt is a kind of *apramā*. The objection now runs as follows: if a knowledge were known for certain to be true right from the beginning, it could not possibly be doubted—soon after the origination of that knowledge—whether the knowledge is true or not. And yet we do sometimes, especially in the case of knowl edges of an unfamiliar kind, doubt, immediately after having the knowledge, whether the knowledge is true or not. Such doubts which do undoubtedly take place cannot be accounted for if every knowledge were initially known to be true, i.e. if knowledge of a knowledge always amounted to certainty about its truth. For detailed statement of the argument see Gaṅgeśa's text below, paras 22ff., and our notes thereon. For our present purpose only a few of the salient points of the argument may be stated. In the first place, not all doubt about the truth of the knowledge is claimed to be unexplained in the theory. Of course, doubts which arise later on after the first knowledge of the knowledge has disappeared may well be accounted for, for there remains

nothing which may render them impossible. In fact, if the *svataḥ* theory be stated, as it has been by Gaṅgeśa in 7, as maintaining that truth is apprehended by all those knowledges of the knowl edge (whose truth is under consideration) which do not apprehend the falsity of the knowledge, then all doubts about the truth of the knowledge would be excluded from the purview of the thesis, and there would remain no inconsistency in maintaining both that truth is known *svataḥ* (in the above sense) and that we may later on doubt or deny it. But the doubt which immediately follows upon the origination of a knowledge raises a special difficulty. It is to be preceded by a knowledge of the knowledge, and the latter yields, according to the *svataḥ* theory, a certainty about truth. Such certainty cannot be *immediately* followed by doubt, for the former is a *pratibandhaka* of the latter. Later on after this certainty disap pears in the third moment after its origination (in accordance with the Nyāya metaphysics) there may very well be doubt.

The Mīmāṃsakas, it must be said in all fairness, have given what from their own point of view may be regarded as satisfactory replies to this seemingly formidable objection. The replies may be listed as follows:—

1. The objection presupposes that it is one of the necessary but not sufficient conditions of doubt that the substantive (*dharmi*) of the doubt— the *this*, e.g., in the doubt 'Is this a man or not?'—should be perceived. Now the Mīmāṃsaka may very well deny this assumption. He may contend that all that is necessary is that there should be a contact of the senses with the substantive (*dharmīndriyasannikarṣa*), and provided the other necessary conditions are present there would be doubt without there being a separate knowledge of the substantive. Gaṅgeśa considers this reply but sets it aside in 25 on the ground that unless knowledge of the substantive were a necessary condition of doubt, it cannot be explained why there should be *dharminiyama* and *koṭyutkaṭatva*. As regards '*koṭyutkaṭatva*' it is a highly controversial matter, and not all Naiyāyikas agree that it does characterise doubts. But certainly *dharminiyama* can be accounted for even on the assumption that doubt is preceded by simply contact of the *dharmi* with the senses and not by a separate knowledge of the *dharmi*. The fact that though the senses are in contact with various objects yet doubt arises only with regard to one of them and not with regard to the others may be explained in the same way in which the Naiyāyika explains the fact that though there is simultaneous contact of the senses with various objects yet only one of

them is perceived and not the others. Another knowledge of the object need not intervene between the contact and the resulting doubt. In that case the main back bone of the objection is broken.

Gaṅgeśa however seeks to rescue the argument. The plea that doubt requires sense contact and not a knowledge of it can be advanced only by the Miśra school which believes in an introspec tive apprehension of knowledge. The Bhāṭṭas certainly cannot take the help of this plea, for on their view knowledge is super sensible. The Prābhākaras also cannot, for they have to accept knowledge of the knowledge which on their view would also amount to knowledge of its truth. Secondly, even if *dharmisannikarṣa* were enough for doubt there would be no way of avoid ing further troubles. Gaṅgeśa appeals to the rule (see text para 23, and notes thereon) that if certainty about a thing acts as hindrance to another thing, then the conditions of that certainty would also act as hindrance to the same. If certainty about the truth of a knowledge would hinder the rise of a doubt about the same, then the conditions of that certainty would also serve the same purpose. Now sense contact with the knowledge is a condition of knowing it and so also a condition of certainty about its truth. Therefore, even if no separate knowledge of knowledge is needed, the sense contact with the knowledge would suffice to ward off the said doubt. The Mīmāṃsaka may not however accept the validity of the rule to which Gaṅgeśa appeals, but in that case Gaṅgeśa drives him to swallow unpalatable consequences (see especially note 23.5).

2. The Mīmāṃsaka may then fall back on another reply. He may say that where both the conditions are present, the condi tions of doubt and the conditions of certainty, it is the former which, being stronger of the two, would prevail. For Gaṅgeśa's reply, see 23 again, I do not think the argument is of any worth. The conditions of certainty being present, the conditions of doubt cannot be present. Both the sets of conditions cannot be together present. In the present case, the conditions of certainty of the truth of the knowledge are the first to come into the picture. Therefore there is no ground in suggesting that the conditions of doubt are also present.

3. Another reply is possible exactly on the lines of that given to the generalised Nyāya objection mentioned at the beginning. It may be said that though truth is apprehended yet owing to the presence (or, discovery of) some *doṣa* there again arises doubt about the same. Gaṅgeśa's reply is threefold. First, the case of seeing the conchshell yellow in spite of a prior

certainty that it is white is very different from the present one (26.2). Secondly, while a perceptual certainty to the contrary is needed to annul a wrong perceptual belief, yet any prior certainty acts as a hindrance to doubts (26.3). Finally, there are all the diffi culties around the notion of *doṣa* (27.1).

4. A more interesting way out is then considered by Gaṇgeśa (27). Let truth be known. But this knowledge of truth itself may come to be doubted. Let the first knowledge be K_1 and its truth T_1. Now suppose T_1 is apprehended by K_2. The problem is, how after this it is possible to have the doubt "Is K_1 true or not?" The present solution is this: We first have doubt about the truth of K_2 Doubt in the truth of a knowledge causes as a rule doubt about the reality of its object. If K_2 is doubted, as a con sequence T_1 which is its object would also be doubted, and this is precisely what was to be accounted for. Again, here Gaṇgeśa's objection is effective: The case with K_2 is no better than that with K_1. K_2 is also known to be true *svataḥ*, and it is equally inexpli cable how its truth could come to be doubted soon after.

The above discussions show that Gaṇgeśa's argument is strong and offers the Mīmāṃsaka a formidable challenge. But the argu ment certainly rests on ontological assumptions which weaken its otherwise seemingly unanswerable challenge. Gaṇgeśa assumes that we do have such doubts. No doubt we have some time or other doubts about the truth of some knowledge we had. But any such doubt does not interest Gaṇgeśa. He assumes that we have doubts about the truth of a knowledge immediately after— i.e. in the second, third, and fourth moments after (according as we are dealing with the Prabhākara, Miśra and the Bhāṭṭa views respectively)— the origination of the knowledge. Now that there are such doubts at any one of these moments after the knowledge and not somewhat later, is not an empirically verifiable hypothe sis. We may have doubts very soon after. But how to make sure that the doubt arises in the third moment after the origination of the knowledge? The difficulty is due to the peculiar conception of moment. Distinctions of moment are not discernible differences. There is the further metaphysical doctrine that a knowl edge has a life history of three moments. Leaving this latter belief aside, the way the argument is made to depend on the sup posed fact that there do occur doubts of the said kind in the third (or second, or fourth) moment after the

origination of the knowl edge makes it vulnerable to attacks from that quarter. It would not do to say that there occur doubts very soon after, for it may always be maintained without the risk of empirical evidences to the contrary that the doubts which occurred very soon after were really several more moments after, let us say, five, six, or seven, and never in the second, third or the fourth moment!

There are two other arguments of the Naiyāyika. Of these two the last one is in our opinion the most important argument. In the first place, it is urged that since truth is a related entity, a *viśiṣṭa* object in which the two components of '*tadvadviśeṣyakatva*' and '*tatprakārakatva*' limit and determine each other, it cannot be apprehended unless the related terms are previously appre hended in precisely those characters in which they are related. It has been said earlier that the Miśras who regard truth as knowable by *anuvyavasāya* understand by 'truth' nothing more than *tadvadviśeṣyakatve sati tatprakārakatva*. Now this is a loose co existence of two different entities each of which is knowable by *anuvyavasāya* even on the Naiyāyika's view. But this as we have seen is not a good definition of 'truth'. Truth must at least be *tadvadviśeṣyakatvāvacchinnatatprakārakatva*, and this cannot be apprehended unless the component terms '*tadvadviśeṣyakatva*' and '*tatprakārakatva*' are previously known. Now on the *svataḥ* theory truth is known either by the knowledge itself, ox by its *anuvyavasāya* or by the inference from *jñātatā*. But none of these is qualified to fulfil the necessary requirements. The *anuvyavasāya* or the self-revealing knowledge itself may apprehend its own '*tadvadviśeṣyakatva*' and '*tatprakārakatva*' but precisely for that reason they are not qualified to apprehend the related-ness of these two entities. This point has been most forcefully and elaborately worked out in the recently published *Prāmāṇyavāda* of Harirama.[111]

The Mīmāṃsakas may avoid this difficulty in either of two ways. They may, like the Prābhākaras, insist that truth is mere '*tatprakārakatva*' and this admittedly is known *svataḥ*. But this is a notion of truth that applies to errors as well and does not serve to distinguish truth from error. It is therefore useless for us. We are investigating that property which distinguishes true knowl edges from the false ones and is present in common in all true knowledges. '*Tatprakārakatva*' falls short of this test. It is too wide a definition.

The Mīmāṃsakas may accept the definition of the Naiyāyika and proceed to deny the validity of the rule (on which the Naiyāyika depends) that a knowledge of a related whole presupposes knowledge of the relata separately. But this is too fundamental an issue to be decided here. This concerns one of the central prin ciples of the Nyāya theory of knowledge, the principle on which the Nyāya distinction between *nirvikalpa* and *savikalpa* percep tions is based.

This argument however cannot be a decisive one. For if this were the reason why truth in the Naiyāyika's sense cannot be apprehended by *anuvyavasāya* then one has to allow cases where modifications of the Nyāya position seem quite plausible. Thus Harirama refers to a possible case where one has somehow a prior knowledge of both the relata involved. In that case there is nothing to hinder him from apprehending truth in his first *anuvyavasāya*. One can only add that all that the Nyāya theory implies is that truth is not apprehended *only* by *anuvyavasāya*. But this would be a poor compromise indeed. One has to concede also another case, as Pakṣadhara Miśra does: let the first *anuvyavasāya* apprehend the *tadvadviśeṣyakatva* and the *tatprakārakatva*. If this *anuvyavasāya* is followed by the same knowledge of the same object and then there follows an *anuvyavasāya* of it then this second *anuvyavasāya* seems qualified to apprehend truth. Pakṣadhara accepts this possibility[112], and the commentary *Dinakarī* on *Siddhāntamuktāvalī* speaks of it with seeming appro val. Harirama however rejects this on the ground that the first *anuvyavasāya* apprehends the qualifiers and the qualificandum of the first primary knowledge whereas the second *anuvyavasāya* can apprehend similar properties in the second primary knowl edge. Therefore the fact that the first *anuvyavasāya* apprehended the properties of the first primary knowledge cannot be used to support the claim that the second *anuvyavasāya* apprehends its truth.[113] It may be said then that this view of Pakṣadhara does not represent the main trend of the Nyāya view on the matter.

The argument we have been examining is to the effect that truth being a composite relational entity it cannot be apprehen ded unless the component relata have been previously apprehen ded, and that the *svataḥ* theory has no room for this requirement. A variation of this argument is this: a knowledge of the truth of K_1, let us say, would have the form 'K$_1$ is true'. Such a judge

ment is possible only if we have a prior acquaintance with K_1 as well as with its truth. It is therefore by no means possible that the first knowledge of K_1 would also be at the same time a knowledge of its truth. This objection in another form threatens the Naiyāyika's account also. The Naiyāyika holds, as is well known, that truth is first apprehended by an inference. But one of the rules of a valid inference [is that the *sādhya* must be previously known though it need not be known as belonging to the *pakṣa* of this inference, otherwise there would be the fallacy of *sādhyāprasiddhi*. This fallacy now appears to threaten the Nyāya account. If truth is not known beforehand, if it is ascertained for the first time by the inference then the *sādhya* (which is but the truth of the knowl edge concerned) is unknown. Gaṅgeśa makes desperate attempts to solve this difficulty. For these and for our critical comments thereon, see text paras 36–40 and the notes on them.

We may now turn to the last but at the same time in our opinion the most important argument advanced by the Naiyāyika against the *svataḥ* theory. The argument rests on the rule that mind as an instrument of knowledge is incapable of apprehending outer reality independently (*bahirviṣaye manasorasvātantryāt*). A knowl edge is apprehended by the mind, but mind cannot thereby know whether the qualifier of the knowledge really belongs to the object of the knowledge. In other words, the mind is not able to apprehend the *tadvattva* which is a component of '*tadvadviśesyakatva*' which again is a component of the notion of truth. In simpler language, I can know my knowledge 'This is silver' to be true only if I know that the object before me is really a silver, i.e. it possesses silverness. But to know this is to know an outer state of affairs, which the mind by itself cannot do. A knowledge of knowledge therefore as such cannot do this. *Anuvyavasāya* at least cannot do this, and as against the Miśra theory the argument is conclusively effective. We have only to ask how far it is effective as against the Prābhākara and the Bhāṭṭa versions of the *svataḥ* theory. Against the Prābhākara theory that a knowledge apprehends its own truth, we may say that though the knowledge 'This is silver' apprehends itself as having the qualifier 'silver ness' and also as having the qualificandum 'this' limited by 'thisness', yet it does not apprehend that the qualificandum 'this' possesses silverness. The *this* may in fact possess silverness, but the knowledge does not know itself as having a qualificandum which possesses silverness, and that makes all the difference bet ween the primary knowledge and the

knowledge of its truth. As against the Bhāṭṭas we may say with the Naiyāyikas that *jñātaṭā* could not be a mark of truth, for it serves as a mark of true knowl edge and false knowledge alike.

As Gaṅgeśa argues in 33, the form of the *anuvyavasāya* is not 'I know this silver' but 'I have a knowledge of *this* having 'this ness' and 'silverness' as its qualifiers'. For critical remarks on this see notes thereon and also the footnote to 33.1.

We may sum up the matter then by saying that the whole theory of *parataḥprāmāṇya* as advocated by the Naiyāyika, espe cially by Gaṅgeśa, is based on the conception of truth as what we have called a hybird entity containing both epistemic and ontological components. This nature prevents truth from being readily knowable with knowledge of its focus. One has to take recourse to a process of confirmation and validation. *Pravṛtti* or practical activity however does not wait for a successful out come of the process of confirmation, unless of course there has been a preliminary doubt to start with.

V. CONCLUDING REMARKS

We may now put together the insights we have gained from this critical study. It was said right at the beginning of this introdu ctory study that it was possible to look upon the rival schools in sofar as the problem of truth was concerned as in a way supple menting each other. It is likely, we said then, that they are not answering exactly the same questions, that the two points of view do not necessarily clash but may be brought into a happy reconciliation. The apparent contradiction may be due to the fact that they are using the same expressions while in fact giving them different meanings. Both the rival schools are based upon some genuine philosophical insights. Both are appealing to undeniable phenomena. Yet semantic confusions prevail, and where there ought to have been accord of insights there is instead clash of arguments.

We leave aside for the present the ambiguity, equivocation and relativity of the words '*sva*' and *para* Gaṅgeśa has tried his best to remove these and to make their meaning as precise as possible. It goes to his credit to have brought out a common meaning of '*svataḥprāmāṇya*' where there is really a great deal of internal difference amongst the advocates of this theory. But

for us the real key words, the words that give shape to the entire controversy we have been examining are two: '*jñāna*' and '*prāmāṇya*', 'knowledge' and 'truth'. The difference between the two theories lies here: they take '*jñāna*' and '*prāmāṇya*' in differ ent senses and as a consequence have to look upon the relation between knowledge and truth also differently.

'*Jñāna*'—The *svataḥ* theory understands 'knowledge' in a strict sense such that the theory becomes an analytic consequence of its conception of knowledge. It understands by 'knowledge' only-true knowledge. For it *pramā* and *apramā* are not just co-ordi nate species of *jñāna*. If this were so i.e. if true and false cogni tions were co-ordinate species of knowledge then Gaṅgeśa's arguments would have successfully exposed the theory. But the theory is invulnerable to these criticisms just because its under lying assumptions are different from those of the *parataḥ* theory. Now this strict sense of 'knowledge' is maintained in either of two ways. Some deny that there is anything called error strictly speaking. Error and doubt are then sought to be resolved into-components that are, each taken by itself, true. Others, as shown earlier, accept error and doubt as irreducible forms but do not treat them as forms of knowledge. They are regarded rather as pseudo-knowledges, *jñānābhāsas*. In either of these ways, the strict sense of 'knowledge' is maintained intact in the face of recalcitrant phenomena of error and doubt. No wonder that truth should be taken as intrinsic to knowledge. Error then be comes an aberration, not a species of knowledge.

But it is necessary to point out again even at the cost of re petition that what the *svataḥ* theory is doing *is not a mere linguistic stipulation*, an arbitrary recommendation to use the word 'knowledge' in a certain sense. The theory has a strong support from both phenomena and linguistic usage. It is suppor ted by the usage of 'know' according to which *to know is to know the truth*. It is supported by the phenomenological evidence that error is not knowledge but pretends to be knowledge. Error is error only inasmuch as it can successfully pretend to be knowl edge, though its character as error stands exposed along with its pretension.

As contrasted with all this, the *parataḥ* theory takes 'knowledge' in a rather weak sense so as to include within its scope both true knowledge and false knowledge. Even doubt is not excluded. 'Knowledge' then is a generic term which for obvious reasons cannot be defined with reference to what characterises only one species of it. *The word 'belief'* — in spite of all the philo sophical difficulties associated with it—*perhaps better expresses this*

generic knowledge in the weak sense. No wonder then that in this sense truth cannot be an intrinsic character of all knowl edge quâ knowledge. It should also be obvious that a belief *needs confirmation* prior to which it remains a belief, powerful enough to cause appropriate practical response but cognitively still below the rank of true knowledge.

Prāmāṇya—There are three different *types* of concepts of truth to be met with in the different versions of the *svataḥ* theory. There is on the one hand a *psychological* concept according to which a knowledge is true (and not merely taken to be so) if it is not known to be false, if it has not yet been contradicted. There is next an *epistemological* concept which makes truth a purely epistemological property: it may be defined either simply as *tatprakārakatva* (as by the Prābhākaras who need not disting uish it from error) or as *tadvadviśeṣyakatve sati tatprakārakatva* (as by the Miśras who distinguish truth from error, but do not see that truth must have an ontological reference). There is then the definition of truth as simple *jñānatva* which makes it the generic property of all knowledge quâ knowledge. All these de finitions go to make the *svataḥ* theory highly plausible. The last one makes the theory analytically true. The first one makes it psychologically acceptable. The second makes truth knowable by *anuvyavasāya*.

The Naiyāyikas mean something else by truth. It is interesting to note that some advocates of the *svataḥ* theory (like the author of the *Vedāntaparibhāṣā*) explicitly proclaim that the truth which they regard as being *svataḥ* is nothing other than *tadvati tatpra kārakatva*, But in fairness it must be said that in further explica tion of it they must have to part company. Madhusūdana Sarasvatī clearly says that *tadvati tatprakārakatva* is common to both true and false knowledges. It is obvious that he is explica ting itin a sense that is different from the Naiyāyika's.

Both the theories are valid in their own ways, for the word 'true' is predicated of beliefs as well as of knowledge.[114] As pre dicated of beliefs, the predicate 'true' has a significant opposite i.e. 'false' inasmuch as there are true beliefs and false beliefs. But as predicated of knowledge the predicate 'true' has no significant opposite inasmuch as 'false' is nota predicate of knowledge in the same way as 'true' is.

This way of reconciling the two theories is somewhat funda mentally different from some other attempts to do the same.[115] It has been held by many that what the *svataḥ* theory says is that every knowledge has an

intrinsic *claim to truth*, that *prāmāṇya* for this theory is not truth but truth-claim, which has to be accepted unless and until it has been refuted. The Naiyāyikas on the other hand speak of actual truth and not of mere tentative truth-claim. This is indeed a very ingenious device, but I think it is too simple to be true. The *svataḥ* theory, I should think, is talking about truth and not merely of truth-claim. Only it so construes the meaning of 'truth' that the rest of it follows smoothly. Both the theories are concerned with actual truth, though *their notions of truth are different*. It has also been suggested that the *svataḥ* theory is concerned with truth in the unreflective sense, while the *parataḥ* theory with reflective confirmation or validation so that both the theories are correct. There is an unreflective acceptance which does not rule out the need for subsequent validation. I think this way of reconciling the theory fails to account for an important aspect of the *svataḥ* theory, namely for the fact that this theory has no room at all for subsequent validation.

While both the theories are thus in their own ways correct, each of them suffers through confrontation with the other. The dialectics which ensues upon this confrontation tends to distort the original grain of truth in each. Thus the *svataḥ* theory comes to *say* that truth originates from the same conditions as give rise to knowledge quâ knowledge, whereas it ought to have said that truth has no origin at all or that the very question about the origin of truth is nonsensical.

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1. The idea of 'instrumental cause of a true knowledge' has been subjected to a quite different controversy between the Nyāya and the Bauddha schools.

2. Madhusūdana Sarasvatī, *Advaitasiddhi* (Nirnayasagar edn.), p. 499.

3. Madhusūdana Sarasvatī, *Advaitaratnaraksanam* (Nirnayasagar edn.), p. 32.

4. Pārthasārathi Miśra, *Nyāyaratnamālā* (ed. by Mm. Pt. Gangadhar Sastri, Chowkhamba Saoskrit Series, Bañaras), p. 30–1.

5. *Prāmāṇyavāda* (Kanchi ed.), p. 15.

6. Gaṅgeśa: *"svatastve prāmāṇyavata eva jñānasya grahāt"* (*Prāmāṇyavāda*).

7. Rāmānujācāryya: *"yatra vyavahāravisaṃvādaḥ tatra pūrvajñānasya bhrāntatvam"*. (*Tantrarahasya,* Gaekwad's O.S., p. 3)

8. Rāmānujācāryya: *"yasyām saṃviti yaḥ artha avabhāsate sa tasya viśayaḥ, nānyaḥ asya tatrānavabhāsāt."* (*"loc. cit.*, p. 2)

9. *"tasya sarvasaṃvitsādhāraṇatvāt."* (*loc. cit.*, p. 2)

10. *"anubhutik pramānam"*. (*loc. cit.*, p. 2)

11. *"yatra tu na (vyavahāravisaṃvādaḥ) tatra samyaktvam."* (*loc. cit.*, P. 3).

12. *"na svātantryeṇārtham paricchinattīti na pramāṇam"*. (Śālikanātha, *Prakaraṇa Pañcikā*, p. 42)

13. Jha, *Prābhākara Mīmāṃsā.*

14. I am indebted, in bringing out this threefold sense of 'truth', to P. Sastri's *Introduction to the Pūrvamīmāṃsā* (Calcutta, 1923). It would be seen that I agree with that learned scholar in thinking that it is truth only in the broadest sense of the term that, on the Mīmāṃsā theory, could be *svataḥ*. I however have differed from him in the precise formulation of these three senses. The difference between his analysis and mine may be represented thus:—

On Sastri's analysis:
1. Truth as common to all cognitions (*pramā, apramā* and memory)
2. Truth as common to memory and *anubhūti* (=*bādhakābhāvatva*)
3. Truth as belonging only to *anubhūti* (*bādhakābhāvatva* + *anadhigatatva*)

On my analysis:
1. *Yāthārthya* (common to all awareness quâ awareness of some object)
2. *Prāmāṇya*, as common to all knowledge, right or wrong, but excepting memory (=*anadhigatatva*).
3. *Samyaktva*, as characterizing only right *anubhūti (anadhigatatva + bādhakābhāvatva)*.

15. *Ślokavārtika*, 2.83.
15a. It should be remembered however that though the said inference reveals truth, truth is not inferred. Thus Gaga Bhāṭṭa writes: *"Pramātvasyānanumeyatvāt jñānānumāne samānasaṃvitsaṃvedyatayā jñānatvavatpramātvasya svatastvasaṃbhavāt"* (*Bhāṭṭacintāmaṇi*, p. 13).
16. *Ślokavārtika*, 2.53.
17. Sastri, loc. *loc. cit*., 68–9.
18. It must be remembered that the Bhāṭṭa unlike the Prābhākara does distinguish between right knowledge and error so that his account of *prāmāṇya* should be expected to distinguish the one from the other.
19. *Ślokavārtika* with the commentary of Umbeka (Madras Univ. Sanskrit Series, no. 13, 1940), p. 54.
20. "*Ajñataviṣayakaṃ bādhakajñanarahitajñānaṃ pramā*". (*Bhāṭṭacinta-mani*, p. 13)
21. "*Na jñānasaṃbandhitvena prāmāṇyaṃ gṛhyate iti brūmaḥ, kiṃtu viṣayatathātvaṃ tadvijñānasya prāmāṇyarn tannibandhanatvājjñāne prāmāṇyabuddhiśabdayoḥ, tat ca ajñātādeva jñānāt svata eva gṛhītamityanarthakaṃ pramāṇāntaramiti*". (*Nyāraratnākara* on *Ślokavārtika*, edtd. by Ram Sastri, Benares, 1898, p. 71)
22. *Nyāyaratnākara*, p. 61. Again *Nyāyaratnamālā*, p. 33 (Banaras edition, 1900): "*arthātathatvamidameva hi jñānasya prāmāṇyam*"
23. Pārthasārathi recognizes this in *Nyāyaratnamālā*. To the question whether truth also belongs to memory, he replies that strictly speaking it does not, but in the context of the present discussion (*asmin tu prakaraṇe*) truth is taken as what is common to right knowledge and memory. For, he goes on to tell us "*ananusandhīyamānatvaṃ tadayogānupalabdhigamyatvena na jñānasvarūpād gamyate*" (p. 35). The knowledge of a jar, for example, does not tell us that it is knowledge of what has not been previously apprehended.
24. "*Sarvavijñanaviṣayamidam*" (*Nyāyaratnamālā*, p. 35). Also: "*jñānamātraṃ tu adhikṛtya svataḥ prāmāṇye parataścāprāmāṇye sādhyamāne*" (*ibid*, p. 35).
25. Compare Gaṇgeśa in *Prāmāṇyavāda*, Gāgā Bhaṭṭa's *Bhāṭṭacintāmaṇi*, Viṣvanātha's *Siddhāntamuktāvalī* etc.
26. Thus Gāgā Bhaṭṭa: "*Murārimiśrastu ghaṭādijñanottaraṃ ghaṭaṃ jānāmītyādyanuvyavasāyo jāyate tena ghaṭatvavadviṣeśyakaghaṭatvaprakārakarūpaprāmāṇyagraha ityāhuḥ*". (*loc. cit*., p. 19)

27. "*Viśayanirūpyaṃ hi jñānam ato jñānavittivedyo viśaya iti vyavasāye bhāsamāne dharmadharmivat tadvaiṣiṣṭyamapi viśayaḥ". (Prāmāṇyavāda)*

28. Cp. *Advaitasiddhi*, p. 311.

29. Thus *Advaitasiddhi: "sākṣijñānasya bhramapramāsādhāraṇatvena"* etc. (p. 351).

30. Thus, for example, Vācaspati Miśra: "*Abādhitānadhigatāsandigdhabodhajanakatvaṃ hi pramāṇatvaṃ pramāṇānām*" (*Bhāmatī*, 1–4).

31. "*Vyavahārakālābādhyatva*" (*Advaitasiddhi*, p. 351).

32. "*Bhāvikālabādhatadabhāvau ca na mānaṃ vinā sākṣiṇā grahītuṃ ṣakyate tasya vidyamānamātragrāhitvāditi*" (*ibid.*, p. 35). *Gauḍabrahmānandī* admits that validity also in the sense of *viṣeśyavṛttyaprakārakatva* (i. e. the property of not having a form e.g. 'snakehood' which does not reside in the substantival object, e.g. in a rope) is not apprehended *svataḥ*, the reason apparently being that such a property consisting of a double negation cannot but be the object of subsequent deliberation (*Advaitasiddhi*, p. 312).

33. This future uncontradictedness is not to be confused with that absolute uncontradictedness (*trikālābādhyatva*) which belongs only to Brahman and which cannot be apprehended by any means (*Advaitasiddhi*, p. 499). The latter is called *tāttvikaprāmāṇya* or metaphysical truth and is distinguished from empirical truth. We are here concerned only with empirical truth. But in what precise sense of truth is empirical truth *svatogrāhya*?

34. "*nāpi prāmāṇyamarthaparicchedasāmarthyaṃ kāraṇaguṇajñānātparatovagamyate*" (Viz. ed., p. 102). "*Prāmāṇyaṃ nāma jñānasyārthaparicchedasāmarthyam*" (*Vivaraṇaprameyasaṃgraha*, Vasumatiedition, Bk, II, p. 223).

35. "*Tathāpi tadvati tatprakārakajñānatvaṃ tadvati tadvaiṣiṣṭyajñānatvaṃ vā prāmāṇyaṃ tacca jñānagrāhakasāmagrīgrāhyam*". (*loc. cit.*, p. 110)

36. Madhusūdana Sarasvatī, *Advaitaratnarakṣaṇam* (*Advaitasiddhi* edn., pp. 29–30). Compare also a modern writer Anantakrishna Sastri: "*yadyapi vedāntinām mate tadvati tatprakārakatvarūpam prāmāṇyaṃ bhramasādhāraṇameva, tathāpi saṃvādipravṛttijanakatvaviśiṣṭaṃ tat na tatsādhāraṇamiti* (*Paribhāṣāprakāṣikā* on *Vedāntaparibhāṣā*, Calcutta 1927, p. 263).

37. One reason for this may be that the Advaitin admits a false object which is the object of false apprehension, so that e.g. the false silver does possess the generic character of silverhood.

38. This is the suggestion of Anantakrisna Sastri in the passage quoted in footnote 37.

39. *Gauḍabrahmānandī* recognizes that the simple property of causing an activity—and the activity, we may add, may also be *niṣkampa*—is common to right knowledge and error: "*pravṛttiprayojakatvarūpaṃ... pramātvaṃ bhramasyāpi vidyate*". Hence the qualification should be: "the property of causing successful activity". (*Advaitasiddhi*, p. 319)

40. "*Prāmāṇyam vyavahārakālāvacchinnasya mithyātvaniścayāviśayatvasya ya āśrayaḥ tadviśayakadhīsvarūpam*". Again: "*Mithyātvena ajñātaṃ yat tadviśayakajñānatvarūpapramātvasya jñānasāmānyagrāhakasākṣigrāhyatvarūpasvatogrāhyatvasambhavāt*". (*Advaitasiddhi*, pp. 351–352)

41. "*Ajñātārthaniścayātmakatvameva prāmāṇyamasmatpakṣe*". (*loc. cit.*, p. 32)

42. See footnote 40 above.

43. "*Apramāyā ajñānavirodhitvarūpajñānatvābhāvena...*" (*loc. cit.*, 33).

44. "*Na hi hetvābhāso heturbhavati, tadvanna jñānābhāsasya jñānatvam*" (*loc. cit.*, p. 33). For the Naiyāyika, this is not so. Hence the Naiyāyika would regard *pramātva* as belonging only to one species of knowledge and not as coextensive with *jñānatva*.

45. "*Na ca jñānasāmagrīmātrajanyatve apramāpi pramā syāditi vācyaṃ; tasya jñānasāmagrījanyatvābhāvāt. Na ca—evaṃ sati sa jñānamapi na syāditi vācyaṃ, iṣṭāpatteḥ*". (*loc. cit.*, p. 34)

46. "*Jñānamātre jñānatvavat pramātvasyāpyanugamāt sāmānyasāmagrīmātraprayojyatā...*. (*loc. cit.*, p. 34)

47. The late K.C. Bhattacharyya has proposed a similar theory in his paper "Knowledge and Truth", included in the Second Volume of his *Studies in Philosophy* (Calcutta, 1958). Thus he writes:

"Two propositions may be stated about knowledge—that knowing is known only as implied in the explicit awareness of truth and that truth is asserted only of a content that is known. Knowledge and truth have to be defined in terms of each other", (p. 154) Again, "There is…no such thing as false knowledge" (p. 157), so that "if it now appears to be not true, it is never said to have been known but taken at best to have been believed" (p. 158).

48. A.J. Ayer, *The Problem of Knowledge* (London, 1956), Ch. I.

48a. In the Indian *svataḥprāmāṇya* theories this 'right to be so sure' need not be apprehended *ab initio*.

49. *Ibid*, p. 22.

50. Thus the late K.C. Bhattacharyya bases his suggested definition of 'knowledge' in terms of 'truth' upon the phenomenological evidence that knowing is known never as an "indifferent psychical fact", but always as "the implicate of the awareness of truth" from which it follows that truth "cannot be taken simply as additional confirmation of what already is known indifferently". (*loc. cit.*, p. 157).

51. Thus, for example Pārthasārathi in *Nyāyaratnamālā* accepts the intrinsic character of truth only with regard to its apprehension.

52. *Nyāyadarśana* (Calcutta Sanskrit Series), p. 193.

53. Thus Jayanta:'*Na hi kriyāsvabhāvaṃ jñānamapi tuphalasvabhāvameva*' (*Nyāyamañjari*, Chowkh. ed., p. 16).

54. This second point needs emphasis. The Nyāya ontology is not a defence of ordinary usage, but a system constructed with its own categories and their definitions. For the idea of such an ontology, see N. Goodman, *The Structure of Appearance* (Cambridge, Mass., 1951).

55. Udayana: *"Arthenaiva viśe□b hi nirākārataya dhiyam" (Kusumāñjali*, 4.4).

56. Thus Vācaspati: *"tasmādarthapravanebhyo jñānebhyastadapravanatayā bhinna-jtīyāh sukhdāayo... ". (Tātparya□īkā*, p. 108)

Also Vallabhācārya: *"jñānatve cecchādivyāvṛttasvabhāvasya viṣayapra-vanatvamapeksitamitu" (Nyāyalīlāvati*, Chowkh. ed., p. 814)

57. Śaṅkara Miśra: *"icchādau tu jñānaupādhikaṃ tat". (Kaṇṭhātharana* on *Nydyālĕlāvati*, p. 812)

58. Thus, *"Buddhirupalabdhijñānamityanarthāntaram" (Nyāya Sūtra* 1. 1.15). Also, Vācaspati: *"buddhehi svābhāvikaṃ caitanyamāstheyam" (Tātparyaŭīkā* on 1.1.15). Vallabha: *"pakrāśo buddhiḥ". (loc. cit.*, p. 408)

59. See on this point Kalidas Bhattacharyya, "The Indian Theories of Self and Knowledge" (*Our Heritage*, Vol. 2, Part II, especially pp. 221–223). Also B.K. Matilal, *Perception, An Essay on Classical Indian Theories of Knowledge*, Oxford, Clarendon Press, 1986, esp. ch. 9.

60. This view is generally attributed to the author of *Ratnakoṣa*, an extinct work.

61. Thus Uddyotākāra: *"Yadi guṇaḥ sa na sādhāraṇaḥ" (Vārttika* on 1.1.23).

62. Ingalls seems to hold that the Nyāya analyses, not propositions but, cognitions (*loc. cit.*, pp. 33–4). In the light of what I have said above, I should like to hold that the Nyāya does not distinguish between proposition and sentence on the one hand and knowledge and proposition on the other. It does distinguish between knowledge and sentence. What it analyses then is as much a knowledge as a proposition, but then not the self-subsistent proposition. More accurately, therefore, it analyses cognitions that are propositional in character if they are of the *savikalpa* sort. Whether a *savikalpa* knowledge is, according to the Nyāya, *necessarily* linguistic or not is a difficult problem. This much seems certain that, in the first place, it *can be* expressed in a sentence and, secondly, that it admits of a logical analysis (and so may be said to be propositional).

63. Contrast Kalidas Bhattacharyya, *loc. cit., Our Heritage*, Vol. 2, Part II.

64. The merely reflective awareness or *anuvyavasāya* does not explicitly yield the analysis (but gives us the datum for analysis). Analysis therefore requires a different attitude. For an independent development of such a notion of content, see my "Remarks on the Content Theory" in the

Visvabharati Journal of Philosophy, Vol. 2, No. 2 (Reprinted in *Phenomenology and Ontology*, The Hague: M. Nijhoff, 1970).

65. Kalidas Bhattacharyya, *Our Heritage*, Vol. 2, Part II, p. 228.

66. For the Nyāya, *viṣayatāsambandhena jñānaṃ prati tādātmya-sambandhena nirvikalpakaṃ pratibandhakam*.

67. Lest it might be objected that '*viśayatā*' is only a generic name for *viśeṣyatā, prakāratā*, etc. and hence in the absence of any of the latter, there is no point in claiming that there still is a *viṣayatā*, some Naiyāyikas uphold the view that there is an additional *viṣayatā* over and above *viśeṣyatā, prakāratā*, etc. (*atiriktaviṣayatāpakṣa*). Cf. Gaṅgeśa, *Prāmāṇyavāda* (Kanchi edn.), p. 228, and note 41.1 in the text below.

* A terminological Note: in consistency with remarks made in the preceding paragraphs, it hardly needs to be said that when we speak of the 'pot' being a qualifier (in the knowledge 'the floor with the pot'), what is meant is that the knowledge-content referring to the pot belongs to the specific type called *prakāratā*.

68. Another such example of the way the Nyāya analysis goes beyond the linguistic is provided by its attitude towards the relational component of a knowledge (*saṃsargatā*). The relational component in knowledge always remains unmentioned. Conversely, if a relation finds mention, it ceases to be a relational component in the knowledge. In 'The hill is fiery' ('*parvato vahnimān*') the unmentioned relational component is '*saṃyoga*.' But in the knowledge 'The hill has *saṃyoga* with fire', *saṃyoga* no more functions as a relational component but has got metamorphosed into a qualificandum and/or a qualifier. The relational component now refers to the unmentioned relation of *samavāya*.

69. This is why some Naiyāyikas speak of a total unanalysable *viṣayatā* which is more than its components and which intentionally refers, as it were in one act of intention, to the total object i.e., in the above example, to the floor-as-possessing-the-pot. This unanalysable unity has been called '*vilakṣaṇa viṣayatā*'. It is absent in the case of error, for in error there is no total related object. There is nothing like the-this-as-qualified-by-silverhood in the case of the erroneous cognition 'This is silver'.

70. In the Vaiśeṣika literature we find the classification into '*vidya*' and '*avidyā*'.

71. *Nyāyadarśana* (Calcutta Sanskrit Series), p. 8.

72. "*Arthapratītyadhīnā tu pravṛitiḥ na arihāvadhāraṇādhīnā*" (*ibid.*, p. 9).

73. Thus Vallabha: "*Na ca viṣayadharmabhedaḥ, sarvasādhāraṇyāt*" (*Nyāyalīlāvatī*, Chowkhambā edn., p. 766). "*Sarvasādhāraṇyāt*" is explained by *Kaṇṭhābharaṇa* as meaning "*bhramasādhāraṇyāt*". But he also interprets it in another way. If truth were a property of object, then one person Caitra could apprehend the truth of Maitra's knowledge.

74. "*Viṣaye tādṛśadharmānanubhavādityarthaḥ*" (*Kaṇṭhābharaṇa* on *Nyāyalīlāvatī*, p. 766).

75. *Satyatvaṃ na jñānajātiḥ* (*Nyāyalīlāvatī*, p. 766). Also see Udayana's *Pariśuddhi*, pp. 158–9. For critical remarks on this see pp. 48–50 following.

76. *Nyāyadarśana*, p. 24.

77. Vātsyāyana's *Bhāṣya* on *Nyāya Sūtra* 2.1.36.

78. *Nyāyadarśana*, p. 15.

79. *Ibid.*, p. 16.

80. *Pariśuddhi*, p. 46.

81. *Nyāyakusumāñjali Kārikā* 4/1, 4/5.

82. *Nyāyamañjarī* (Chowkh. edn.), p. 12.

83. *Nyāyakandalī* (Viz. edn.), p. 172.

84. *Nyāyalīlāvatī*, pp. 737–738.

85. *Nyāyadarśana*, p. 16 and *Pariśuddhi*, pp. 161–166. Two things are here meant by 'lack of independence of memory'. It is meant, in the first place, that memory reveals what is already known in the past and has no independent capacity for manifesting its object. But dependence in this sense does not go against ascribing to it truth in the ordinary sense. The truth that is denied to memory

thereby must be truth in some special sense. Udayana also seems to mean that the '*yāthārthya*' of memory is dependent on that of the past experience which is being remembered. If the past experience is *yathārtha*, then memory is also so; if the past experience is not *yathārtha*, then memory also is not, even if memory may be faithful to it. I think it is being unfair to memory.

86. For this notion of *avyāpyavṛttitva* and its opposite, see Ingalls, *loc. cit.*, pp. 73–74.

87. Definitions in the Nyāya are not merely nominal definitions but real definitions in the sense that they are designations of real properties that serve to distinguish the definiendum from all that is other than it. Hence a definiens may be said to designate an entity. In the present case it may be said to designate an entity only when the variable has been given a value.

88. This is the logical significance of the Nyāya dictum that all knowledge is unerring with regard to the substantive (*dharmiṇi abhrāntam*). The Nyāya doctrine referred to above that every false cognition is in some respect at least true must be sharply distinguished from the theory of degrees of truth and falsity as stated by such thinkers as F.H. Bradley.

89. This, it seems to me, is the main difference of Gaṅgeṣa's conception of truth not only from all epistemological and ontological notions but also from the semantic concept of truth of A. Tarski.

90. Thus Mathurānātha explains *'avacchinnatva'* in this connection as *"idametad viśeṣyakatvāṃśe etatprakārakamiti pratītisāksikaḥ svarūpasambandhaviśeṣaḥ"* (*Māthurī*, p. 403).

91. I leave out for the present the position held by some Naiyāyikas, seemingly admitted by Pakṣadhara Miśra and referred to sympathetically by *Dinakarī* that the truth of a primary knowledge may also be apprehended by second *anuvyavasāya*. See p. 66f *infra*.

92. Vācaspati—*"Anumānasya tu.... nirastasamastavyabhicāraśaṅkasya svata eva prāmāṇyamanumeyāvyabhicārilṅgasamutthatvāt"* (*Nyāyadarśana*, p. 9).

93. *"Anumitijñanaṃ hyarthasya tathātvaṃ vyavacchindadevotpadyate"* (*Pariśuddhi*, Asiatic Soc. ed., p. 113).

94. Udayana's *"Atyantāyogavyavaccheda"* (*Pariśuddhi*, p. 120) is thus explained by Vardhamāna in his *Prakāśa* on it: *"kutrāpi svatogṛhyate ityarthaḥ"*. For Gaṅgeśa's opinions on this, see para 55 of the text.

95. Thus the *hetvābhāsas* are defined in *Siddhdntāmuktāvalī* as those which by being known oppose inference (*Yadviṣayakatvena jñānasyānumitivirodhitvam*).

96. Or, as Vācaspati says, *"gṛhītdvybhicāraliṅgasamutthaṃ niṣkampam utpadyate jñianam"* (*loc. cit.*, p. 9).

97. So far as the origin of the validity of an inference is concerned, the Nyāya of course advocates extrinsic origin, the special excellence needed being *"sādhyavati sādhyavyāpyavaiśiṣṭyajñānam"* (*Muktāvalī* on *Kārikā* no. 133).

98. *"Na ca phalajñānaṃ parīkṣyate prekṣāvadbhiḥ"* (*loc. cit.* 9).

99. *"Vayantu brūmḥ phalajñānamapi abhyāsadaśāpannatayā tajjātīyatvena liṅgena avadhāritavyabhicārameva"* (*loc. cit.*, p. 9).

100. Thus writes Moritz Schlick about the nature of confirmations: "They are an absolute end. In them the task of cognition at this point is fulfilled…it gives us joy to reach them, even if we cannot stand upon them." "The Foundation of Knowledge", included in Ayer (ed.), *Logical Positivism*. The Free Press, Glencoe, Illinois, 1959). Schlick also writes in the essay that in the case of confirmations "I grasp their meaning at the same time as I grasp their truth".

101. *Pariśuddhi*, pp. 102ff.

102. *Pariśuddhi* p. 105.

103. *Prāmāṇyavāda*, para 50.

104. *Pariśuddhi*, p. 117.

105. *Aprāmāṇyaśaṅkā nāstīti eva svataḥprāmāṇyagrahārthaḥ (Pariśuddhi-prakāśa*, p. 118).

106. Jayanta goes to the other extreme and holds the absurd view that every knowledge, prior to confirmation, has the status of a doubt, but in order to show this he has to stretch the meaning of

'doubt' and has to find an explanation of why it is *not* apprehended as a doubt. *Cf. Nyāyamañjarī*, pp. 156–7.

107. See, amongst others, Udayana's *Pariśuddhi*, pp. 158–159, Gaṇgeśa's *Prāmāṇyavāda*, ch. on *Pramālakṣaṇa*

108. For a discussion of these views, see Mm. Yogendranāth Tarkatīrtha, *loc. cit.*

109. "*Viśeṣavināyakṛtasāmānyakāryābhāvāt*".

110. See Mahāmahopādhyāya Pandit Yogendranāth Tarkatīrtha, *loc. cit.*, Vol. VH, Pt. II, pp. 140–141.

111. "*Evaṃ copadarśitarītyā prāmāṇyaghaṭakībhūtasakalapadārthānāṃ viśṛṅ-khalaviṣayitvasiddhāvapi tādṛśavilakṣaṇaviṣayitā tathāvidhavyavasāye asiddhā eveti.*" (*Prāmāṇyavāda*, Sanskrit College, Calcutta, 1964, p. 20).

112. "*Kiṃca pṛthivījñāne tadanuvyavasāyānantaraṃ punastatraiva viṣaye pṛthivījñāne jāte tadanuvyavasāyānantaramityādivakṣyamāṇaprāmāṇyagraha...*" (*Āloka* on *Prāmāṇyavāda*, Darbhanga edn., p. 64). "*Evaṃ nyāyamate anumiteriva dvitīyānuvyavasāyasyāpi prāmāṇyagrāhakatvam*" (*Dinakarī* on *Muktāvalī* on *Kārikā* 136).

113. "*...prathamānuvyavasāye prathamavyavasāyaniṣṭhaprakāritvādīnāmeva bhānāt, dvitīyavyavasāyavṛttiprakāritvādīnāmanupasthityā tadghaṭitatadīya-prāmāṇyasya bhānāsambhavāt*" (Harirama, *loc. cit.*, p. 74).

114. For further elaboration, see Mohanty, "Meaning and Truth", *Visva-bharati Journal of Philosophy*, Vol. I, No. 1 (Reprinted in my *Phenomenon logy and Ontology*, The Hague: M. Nijhoff, 1970).

115. For a criticism of my approach to this issue, cp. K. Potter, "Does Indian Epistemology concern Justified True Knowledge", *Journal of Indian Philosophy*, 12, 1984. For my reply to Potter, cp. my "Prāmāṇya and Workability" reprinted as Appendix to this volume.

SHORYU KATSURA

DHARMAKĪRTI'S THEORY OF TRUTH

In the tradition of Buddhist logic and epistemology established by Dignāga (ca. 480–540), Dharmakīrti (ca. 600–660) yielded probably the greatest influence upon succeeding Buddhist and non-Buddhist logicians in India. The aim of this article is to try to reconstruct Dharmakīrti's theory of truth from the remarks on *pramāṇa* (a means/source of true knowledge) scattered in his works.[1] It is to be noted at the outset that by the word 'truth' I do not mean metaphysical or religious truth, such as the Four Noble Truths of the Buddha, but rather empirical truth. For Indian theories of truth (*prāmāṇya-vāda*) deal with empirical knowledge alone[2] and Dharmakīrti in his preserved treatises is primarily concerned with the epistemological and logical problems of our worldly experience. Although the Sanskrit original for the word 'truth', *prāmāṇya*, literally means 'the property of being a means of true knowledge', to Dharmakīrti it means 'the property of true knowledge' (or 'the truth of knowledge') as well. For as we shall see, he insists upon the essential identity between the means of knowledge and the resultant knowlege. Hence the word '*pramāṇa*' in this article carries both the sense of 'a means of true knowledge' and that of 'true knowledge' itself.

If I may state my conclusion first, Dharmakīrti seems to hold two different criteria of true knowledge or truth, one pragmatic and the other purely epistemological. According to the pragmatic criterion which is found in his discussion of the definition of *pramāṇa*, true knowledge should not be contradicted (*avisaṁvādin*) by our experience, but lead to the satisfaction of our expectation towards the object, and the object of true knowledge should be both real and something new. Now, when we closely examine Dharmakīrti's analysis of perception (*pratyakṣa*) – more precisely, sensation – and inference (*anumāna*), the only two kinds of *pramāṇas*

recognized by him, we discover that the former alone is regarded as 'non-erroneous' (*abhrānta*). According to Dharmakīrti, sensation is total and direct knowledge of an object and possesses the true representation of the object, while inference is a partial and indirect understanding of the object because it grasps only one of the many general characteristics of the object. In a purely epistemological sense, sensation alone is free from error and ultimately true because it keeps some real 'correspondence' with the actual object, namely resemblance (*sārūpya*) of the forms or images; inference, however, is ultimately 'erroneous' (*bhrānta*) because it does not grasp an object as it really is. Nonetheless, truth of inference should not be doubted in practice as long as it leads to an expected result. As a matter of fact, from a pragmatic point of view, inference is in a sense truer than sensation, for in order to be pragmatically valuable the latter should be followed by some conceptual knowledge (*vikalpa*) which alone enables us to have some decision (*niścaya/adhyavasāya*) about an object, while the former does not require such knowledge. In what follows, I hope to present as clearly as possible this somewhat complicated theory of truth. However, before embarking on the main discussion, it may be helpful to clarify some fundamental presuppositions of Dharmakīrti's ontology and epistemology.

ONTOLOGICAL AND EPISTEMOLOGICAL PRESUPPOSITIONS OF DHARMAKĪRTI

One of the fundamental doctrines of the Buddhists is that everything is impermanent, except for some 'uncaused/unconditioned' (*asaṃskṛta*) items, such as Nirvāṇa. Dharmakīrti believes this doctrine in its most rigorous form: namely, whatever exists is momentary (*kṣaṇika*) because only momentary existence can produce an effect (*arthakhyā-samartha*).[3] Thus, according to him, to be is to be capable of producing an effect,[4] so that what really exist are innumerable point-instants or moments (*kṣaṇa*) of material objects (*rūpa*) and mental phenomena (*citta*).[5] Such moments are considered to form a sort of natural flow, for each moment is believed to cause the immediately succeeding moment of a similar kind until such a process is obstructed for some reason. For instance, a moment of seed (A_1) causes the next moment of seed (A_2) which in turn will cause the next

moment of seed (A_3); this will continue until a seed of moment i (A_i) with enough maturity produces the first moment of sprout (B_1) with the help of such co-operating conditions (*sahakārin*) as the earth, water, heat, etc. of the moment i.[6] Thus what appears to us as a solid seed that continues to exist at least for some period of time, is, according to Dharmakīrti, actually a series of moments of seeds. Without yogic power, however, we are incapable of recognizing each moment distinctly;[7] hence, we are forced to deal with a sort of apparent continuum (*santāna*) of moments insead of moments themselves.

'Moment' and 'continuum' seem to be the two key words to the understanding of Dharmakīrti's ontology and epistemology. They are characterized by him in the following manner.

(i) A moment is characterized by the causal power (*arthakriyā-śakti*) and regarded as ultimately real (*paramārtha-sat*). A continuum, on the other hand, is a mere conceptual construct imagined by us upon a series of actual moments of a similar kind, and consequently it is not real but fictional. A continuum is characterized by its lack of causal power.

(ii) Each moment is unique in the sense that it is distinguished not only from other moments of a similar kind (say, a seed) but from those of a dissimilar kind (non-seed).[8] Hence it is called 'particular' (*svalakṣaṇa*). A continuum represents some universal or general characteristic (*sāmānya-lakṣaṇa*) common to every moment which constitutes that continuum. It gives rise to our sense of continuity and identity. It is to be noted here that such a continuum of, say, seed-moments distinguished from other continua of seed-moments somewhat corresponds to our concept of an 'individual' seed and that a universal or general characteristic superimposed upon a group of seeds distinguished from non-seeds corresponds to a 'generic class' of seed.[9]

(iii) A single moment is changeless because it cannot be subject to any external influence due to its momentary nature. As for a continuum, however, we can conceive of various kinds of external influence upon it and speak of its gradual change, e.g. the gradual maturation of a seed.[10]

(iv) A moment or particular is the object of sensation, while a continuum or universal is the object of such conceptual knowledge as inference, judgement and verbal knowledge. The former gives rise to a clear image of an object, the latter merely to an obscured image.[11]

(v) A moment or particular is inexpressible because only a continuum or universal can be the object of our verbal expression.[12] Consequently, it is to be noted that whenever I refer to a moment by a word like 'seed', the word is used only in a metaphorical sense, for a continuum of seed-moments alone can be called 'seed'.

In summary, a moment is causally efficient, real, unique, changeless, inexpressible, particular and related to sensation, while a continuum is causally inefficient, ficitional, common or general, changeable, expressible, universal and related to judgement, etc.

According to Dharmakīrti, knowledge too forms a natural, momentary flow. For example, a moment of sense perception is the result of a set of co-operating causes (*sāmagrī*) belonging to the immediately preceeding moment, viz. knowledge, the sense-organ, an object, attention, light, etc.[13] As long as such a set of causes continues to produce additional similar sets, there will arise a series of moments of similar sense perception.[14] It is essential for such a set of causes to be in approximation (*saṁnidhi/pratyāsatti*) in space and time with each other in order to produce their expected result.[15] The resultant sense perception is essentially unique in nature because of its momentariness; yet, it is characterized by a variety of properties due to its variety of causes: it is knowledge because it is the result of the preceeding knowledge, it takes a particular object (say, color) because it is caused by a particular sense-organ (the eyes), it resembles its object because it is the result of that object, and so on.[16] The theory that knowledge resembles its object or knowledge possesses the form or image of its object (*sākārajñānavāda*) is one of the fundamental presuppositions of Dharmakīrti's epistemology. According to him, the object of knowledge should be the cause of knowledge which is capable of projecting its image into knowledge.[17]

If we may focus on the object of knowledge, a moment of the object possesses the causal power to produce a sensation of it in the next moment. It may be called 'particular causal power' of the object.[18] By sensation, the object (say, a seed) is grasped as it really is and with all its specific properties, e.g. seedness, momentariness, reality, roundness, minuteness, brown color, etc. Each of such specific properties, however, is to be grasped in its general form by judgements or conceptual knowledge which follow the sensation.[19] Consequently, it may be said that a moment of the object

possesses a sort of 'general or universal causal power', as well, which produces judgement of a specific property of the object, such as 'this is a seed', immediately after the sensation of the seeed-moment. Such a causal power is 'universal' in the sense that it is common to every judgement of a similar kind. As mentioned above, at the level of judgement we are dealing not with each moment but with a continuum of moments or so-called an individual object, such as a seed, a pot and a fire, and we form some expectations from such objects, e.g. that a seed can produce a sprout, that a pot can contain milk, and that a fire can cook a meal. In other words, in forming judgements, we may superimpose some practicality or the power to fulfill some human purpose (*arthakriyā=prayojana-niṣpatti*)[20] upon a continuum of the object. Such a power seems to correspond to the universal causal power mentioned above.

Although I have mentioned two kinds of causal powers, viz. particular and universal, it is to be emphasized that, at the level of the momentary object, there is only one and the same causal power, i.e. the capacity to produce its result in its natural flow. This causal power of the momentary object is regarded as particular when we are dealing with sensation or moments, while the same causal power is regarded as a universal causal power to fulfill a human purpose when we are dealing with judgements or continua. Thus one and the same momentary object produces both sensation and judgement, and in fact, human activity in general. Sensation grasps that object directly and entirely, judgeme indirectly and partially through one of its many universal characteristics. Yet, only when judgement is made about an object, can activity towards that object become possible.[21] Therefore, in practice, we are able to approach an object not through sensation or a single moment but through judgement or a continuum. Let us now turn to the main discussion.

DHARMAKĪRTI ON THE DEFINITION OF PRAMĀṆA

(Pramāṇavārttika, Chapter II: pramāṇasiddhi, w. 1–6)[22]

§1. THE FIRST DEFINITION OF PRAMĀṆA

Pramāṇa is non-contradictory knowledge (*avisaṁvādi jñānam*). Non-contradictoriness [here] means the existence of the fulfillment of a human purpose (*arthakriyā-sthiti*). v. 1a–c$_1$

§1.1. VERBAL KNOWLEDGE IS PRAMĀṆA[23]

Verbal knowledge (*śābda*), too, [is non-contradictory,] for it indicates an intention [of a speaker]. Verbal knowledge is *pramāṇa* with reference to that which is an object of a speaker's activity [i.e. intention] and which appears in his [conceptual] knowledge. [But its truth (*prāmāṇya*) is] not based upon reality (*tattva*) of the object. vv. 1c$_2$–2

§1.2. CONVENTIONAL KNOWLEDGE IS NOT PRAMĀṆA[24]

Conventional knowledge (*sāṁvṛta*) is not regarded [as *pramāṇa*], for it grasps [merely] what has already been grasped. v. 3a–b$_1$

§1.3. PRAMĀṆA IS NOTHING BUT KNOWLEDGE[25]

Knowledge is *pramāṇa* because it is the main cause of a human activity (*pravṛtti*) towards a thing to be avoided or taken, and because difference of an objective image (*viṣayākāra*) in knowledge causes difference of understanding [of an object], for only when there is the former [difference], does the latter [difference] exist. vv. 3b$_2$–4c

§1.4. ASCERTAINMENT OF TRUTH

Knowledge itself is known for itself, [but] its truth [is known] through an experience (*vyavahāra*). [Then] a philosophical treatise (*śāstra*) [on truth may look useless, yet it] dispels ignorance. vv. 4d–5b

§2. THE SECOND DEFINITION OF PRAMĀṆA

Or [*pramāṇa* is] what reveals a [previously] unknown object (*ajñātārtha-prakāśa*). v. 5c

§2.1. RESTRICTION TO THE SECOND DEFINITION[26]

[Opponents:] "[According to the second definition, conceptual] knowledge of a universal (*sāmānya*) arising after knowing [i.e. perceiving] an object itself would become [*pramāṇa*, which would be unacceptable to Dharmakīrti]." [Answer: The second definition was stated] with the intention that when a particular (*svalakṣaṇa*) is not known, knowledge [of that unknown object may become *pramāṇa*]. For people [who look for the fulfillment of a human purpose] examine [by *pramāṇa*] a particular [alone].[27] vv. 5d–6

Although the above discussion may suggest that Dharmakīrti holds two alternative definitions of *pramāṇa* (Note: 'or' in §2), it should be noted that the two definitions are regarded as interdependent.[28] Thus, to Dharmakīrti, *pramāṇa* is non-contradictory knowledge which reveals an object not known before (§§ 1, 2).[29] In other words, it is (i) knowledge, (ii) non-contradictory, and (iii) refers to a previously unknown object.

(i) PRAMĀṆA IS KNOWLEDGE[30]

According to Dharmakīrti, *pramāṇa* or a means of knowledge should be the most efficient (*sādhakatama*) cause of knowledge. As mentioned before, he believes that a moment of knowledge is the result of a variety of causes,

viz. knowledge, the sense-organ, an object, etc., belonging to the immediately preceeding moment. No one of them, however, is regarded as more efficient than any other. They are, in fact, considered to contribute equally to their common result. Then what is the most efficient cause of knowledge? It is, according to Dharmakīrti, that which ultimately differentiates (*antya-bhedaka*)[31] one knowledge from the other, e.g. knowledge of a cow from that of a horse. In this context, a particular object cannot be regarded as *pramāṇa*, for when it is observed by two persons (A and B), it becomes an object common to them and we cannot differentiate A's knowledge of it from B's. An object is merely one of the variety of causes contributing equally to resultant knowledge. Dharmakīrti proposes that what ultimately differentiates knowledge is the objective image projected into it by the external object (§1.3). Thus, *pramāṇa* or the means of knowledge is nothing but the resultant knowledge itself or, more precisely, an aspect of this knowledge, i.e. its possession of an objective image (*viṣayākāratā*) or its resemblance to its object (*arthasārūpya*)[32] Therefore, from Dharmakīrti's point of view, anything other than knowledge, such as the sense-organ or the contact between the sense-organ and the object, should not be regarded as *pramāṇa*.[33]

It is customary for Indian logiciains to describe the process of knowing an object in terms of four distinct factors, viz. the knower (*pramātṛ*), the means of knowing (*pramāṇa*), the object of knowing (*prameya*) and the resultant knowledge (*pramāṇaphala/pramiti*).[34] Since the Buddhists do not admit the existence of any persisting agent or 'soul' (*ātman*), the knower has no scope in the Buddhist analysis of knowledge. Another unique feature of the Buddhist theory is that it insists upon the essential identity between the means of knowing and the resultant knowledge, as discussed above. Buddhist logicians like Dharmakīrti believe in the most rigorous theory of momentariness and maintain that a moment of knowledge is the result of a sort of natural causal flow. Therefore, only the fact of a moment of knowing an object actually exists and what we call '*pramāṇa*' and 'result of *pramāṇa*' (or the resultant knowledge) are mere mental constructs superimposed upon this fact. Knowledge may be regarded as *pramāṇa* in that it possesses an objective image which decisively differentiates it from other knowledge, or it may be regarded as a result in that it is the knowledge of the object concerned. Consequently, *pramāṇa* and the result are not distinct factors as held by other Indian logicians, but aspects of one

and the same knowledge. As a matter of fact, Dharmakīrti goes on to say that even the object of knowing is nothing but an aspect of the resultant knowledge because all knowledge is self-cognizing (*svasaṁvedana*)[35] This of course leads to the idealistic position that there is no external object, but I will not go into this topic in this article.

So far the problem why *pramāṇa* is knowledge has been dealt with from the epistemological point of view. Dharmakīrti discusses the problem from a pragmatic point of view, too (§1.3). According to him, *pramāṇa* or the means of knowledge should be the main cause of a human activity towards an actual object which is either to be avoided like a poison or to be taken like a piece of gold, and knowledge alone can be the main cause of such an activity, since other alleged *pramāṇas*, such as the sense-organ, do not necessarily lead to such an activity. Therefore, *pramāṇa* is conceived as knowledge in the pragmatic perspective, too.

(ii) PRAMĀṆA IS NON-CONTRADICTORY KNOWLEDGE

Dharmakīrti further specifies *pramāṇa* as non-contradictory knowledge. By 'non-contradiction' he means the existence of the fulfillment of a human purpose (*arthakriyā*) (§1). In other words, knowledge is *pramāṇa* and true if it does not deceive our expectation towards the object of that knowledge. For example, knowledge of water, if true, should be able to lead to real water which will satisfy our expectation by quenching our thirst; it should not deceive us like the knowledge of a mirage. According to Dharmakīrti, whether or not knowledge is true, i.e. the truth of knowledge (*prāmāṇya*), is ascertained by our experience of, or practical activity towards the object of that knowledge (§1.4).[36] In short, to be true is to be uncontradicted by our experience and to be able to lead to the satisfaction of our expectation.

Here a problem arises. If we adopt with Dharmakīrti the rigorous theory of momentariness, the object of knowledge should be different from the object of a practical activity induced by that knowledge, and consequently, the truth of the knowledge cannot be ascertained. This is quite true and perhaps in the strict sense, truth of knowledge cannot be ascertained in any way, for if we deal with the problem in the realm of moments and at the

level of sensation, neither an action in general nor a practical human activity will come under consideration.[37] Nonetheless, it is to be noted that while discussing the nature of *pramāṇa*, Dharmakīrti refers to 'the fulfillment of a human purpose', 'human activity', and 'experience' (§§1, 1.3, 1.4). As noted above, these concepts presuppose not the world of moments, the particular causal power and sensation, but that of continua, the universal causal power and judgement. Therefore, the object of knowledge under consideration should not be understood in its momentary nature but should be grasped as a continuum of moments or an individual. Continuity and identity of the object being thus preserved, we can safely say that the truth of knowledge can be ascertained by our later experience despite the temporal difference of the actual objects. Now, all of this points to the pragmatic and conventional nature of Dharmakīrti's definition of *pramāṇa* or true knowledge.

How truth of knowledge is ascertained is one of the main points of debate in the later Indian theory of truth.[38] Some hold that it is ascertained intrinsicall (*svataḥ*), others that it is ascertained extrinsically (*parataḥ*), and furthermore there is a sort of mixed theory. In this context, Dharmakīrti appears to accep the theory of extrinsic ascertainment of truth, yet it is to be noted that he fails to comment further on this problem (§1.4). His followers seem to hold a mixed theory, according to which sense perception of a familiar object and inferential knowledge are intrinsically true, while sense perception of an unfamiliar object requires some other knowledge to ascertain its truth.[39]

Although truth of knowledge is known through our experience, knowledge itself is known for itself, according to Dharmakīrti (§1.4). This is merely a brief statement of one of his main epistemological convictions, i.e. that all knowledge is self-cognizing (*svasaṁvedana*); yet it seems to suggest that truth, being the essential property of true knowledge, should have been known at the same time as that knowledge was self-cognized. Therefore, it would be better to say that self-cognized truth of knowledge comes to be realized or recognized through our later experience.

There remains one minor question to be answered. Some people may wonder why we argue about the truth of knowledge if it can be ascertained by our experience, i.e. they may consider all philosophical treatises useless (§1.4). To this Dharmakīrti replies that a philosophical treatise is useful

because it aims to dispel people's ignorance about the nature of truth as well as things beyond our experience such as the other world.[40]

(iii) PRAMĀṆA REVEALS A PREVIOUSLY UNKNOWN REAL OBJECT

Next Dharmakīrti tries to characterize *pramāṇa* through its object. Namely, the object of *pramāṇa* or true knowledge should be real as well as something new (§§2–2.1). According to him, people resort to *pramāṇa* when they are looking for the fulfillment of their purpose. Therefore, the object of *pramāṇa* should be a real object which is capable of fulfilling a human purpose. It is a momentary existence in the ultimate analysis; yet, as has been pointed out above, the real and momentary object of sensation is grasped as a continuum or an individual at the level of judgement and ascertainement of truth, so that it can be the object of a practical activity. In short, a particular real object (*svalakṣaṇa*) is the object of both *pramāṇa* and a practical activity induced by *pramāṇa*.[41]

Furthermore, according to Dharmakīrti, the object of *pramāṇa* should be something new. This idea is probably derived from a sort of common sense belief that knowledge is meaningless unless it contains some new information. Thus, memory or recognition and, as we shall see below, perceptual judgement are excluded from the realm of *pramāṇa*. A continuous perception, on the other hand, is regarded as *pramāṇa*, though it appears to take in the same object, since, according to the momentariness theory, what appears to be a continuous perception is in fact a series of moemnts of perceptions which take in a new object with each ensuing moment.[42] The definition of *pramāṇa* so far discussed can be called 'the pragmatic criterion of *pramāṇa*' of Dharmakīrti. Now let us see what types of *pramāṇa* he recognizes.

PERCEPTION (OR SENSATION) AND INFERENCE

It is well-known that Dharmakīrti recognizes only two types of *pramāṇa*, viz. perception (*pratyakṣa*) and inference (*anumāna*).[43] According to him, perception is the initial and direct acquaintance with an object. Supposing that we are in thick darkness, we touch something and have the sensation of, say, hardness even before we judge it to be something hard and identify it as a stone wall. Such immediate sensation prior to linguistic formulation is what Dharmakīrti refers to as 'perception'. It is characterized by him as 'free from conceptual construction' (*kalpanāpoḍha*) and 'non-erroneous' (*abhrānta*).[44] Perception is free from conceptual construction because it is direct and total knowledge of a real object. By such knowledge not only an object itself but all of its minor details and specific properties are supposed to be perceived or sensed. Furthermore, perception is non-erroneous knowledge. Dharmakīrti admits two classes of direct knowledge, viz. erroneous and non-erroneous. He considers that erroneous one can occur if we have some physical defect; for example, the moon may look double to someone suffering from a certain eye disease.[45] Erroneous direct knowledge should not, of course, be regarded as *pramāṇa*. Non-erroneous direct knowledge alone is considered to be perception as *pramāṇa*.

Now let us see how perception fulfills the criterion of *pramāṇa* discussed above. Perception is non-contradictory knowledge, for it can lead to the satisfaction of our expectation. For instance, perception of water can lead us proceed to real water, if, immediately after the perception, we judge that there is water in front of us. It is to be noted here that since perception is free from conceptual construction, it lacks the nature of decision (*niścaya*)[46] and determination (*adhyavasāya*), the driving causes of our practical activity. Hence, perception cannot directly lead to the fulfillment of a human purpose – it does so only indirectly with the help of conceptual knowledge (*vikalpa*). If perception is not followed by conceptual knowledge, there will be a sort of continuous perception until the attention is shifted.[47]

Perception reveals a previously unknown real object, for its object is supposed to be a unique particular (*svalakṣaṇa*) which is both real and new every moment. Thus, we can state that perception as defined by Dharmakīrti fulfills his criterion of *pramāṇa*. In short, perception is non-erroneous, non-conceptual, non-verbal, direct and total knowledge of a real particular object, and it is related to the realm of moments and sensation.

What is opposite to perception is conceptual construction or conceptual knowledge. It is erroneous, conceptual, verbal, indirect and partial knowledge of an object in universal characteristic (*sāmānyalakṣaṇa*), and it belongs, of course, to the realm of continua and judgement. Since conceptual knowledge is regarded as possessing the nature of decision and determination,[48] it invariably leads us to a practical activity.

Like direct knowledge, Dharmakīrti seems to admit two classes of indirect and conceptual knowledge, viz. contradictory (*visaṁvādin*) and non-contradictory. Even when we perceive an object correctly, we may form a wrong judgement if there is some obstructing cause or if there is no condition for decision. For instance, we may misjudge a shell as a silver coin on account of the close resemblance of their features, and we may be under the illusion that things last for a certain period of time because we lack the supernatural power to recognize momentary existence.[49] Such judgements are contradictory in the sense that they lead us to unexpected results.

On the other hand, if there is no obstructing cause and there is a condition for decision, such as repeated experience (*abhyāsa*) of a given object, then we will form a non-contradictory judgement which results in a successful activity. For instance, immediately after perceiving a woman, we normally form the judgement that she is a woman. I would like to call such judgement 'perceptual judgement'. Perceptual judgement differs in accordance with the inclination of the perceiver; a lustful man may consider her an object of his passion, a monk in the midst of meditation may regard her as a mere skelton, and a hungry dog may conceive of her as a nice dinner.[50]

Unlike perception, perceptual judgement[51] is indirect and partial knowledge of an object, for it grasps a particular object through one of its many universal characteristics (*sāmānya-lakṣaṇa*). That is why it is regarded as erroneous. Nonetheless, perceptual judgement is not contradictory because, as mentioned above, it helps perception lead us to the fulfillment of our purpose. However, it is not regarded as *pramāṇa* by Dharmakīrti, for it does not fulfill the second part of his criterion of *pramāṇa*; namely, perceptual judgement does not reveal a previously unknow object (§1.2). The immediate object of conceptual knowledge is a universal, but the ultimate object of it is always a unique particular, as

explained above. Thus perceptual judgement gives no new information about its object since the object has already been grasped by the immediately preceeding perception.

Such perceptual judgement is called 'conventional knowledge' (*sāmvṛta*),[52] perhaps because it deals with such conventional existence (*samvṛtisat*) as 'substance' (*dravya*) like a pot, 'number' (*saṁkhyā*) like one, two, and three, 'motion' (*karman*) like lifting, 'universal' (*sāmānya*) like potness, etc.;[53] in other words, it is knowledge based upon normally accepted linguistic convention (*saṁketa*).[54] Perceptual judgement can be called 'concealing' (*saṁvṛti*)[55] because it conceals the totality of an actual unique object by highlighting one of its universal characteristics. Perceptual judgement can be called 'recollecting decision' (*smārta-niṛcaya*)[56] or simply, 'recollection' (*smṛti*)[57] because, as mentioned above, it grasps what has already been grasped by perception. Apart from provoking a practical activity, another important function of perceptual judgement is to prevent wrong judgement from arising.[58] It must be emphasized again that though it is not *pramāṇa*, perceptual judgement is most valueable from the pragmatic point of view, for perception without it will have no practical significance at all.

Perceptual judgement is not the only type of indirect and conceptual knowledge which is non-contradictory. Dharmakīrti admits at least two other types of non-contradictory indirect knowledge, viz. inference (*anumāna*, or knowledge derived from an inferential mark, *liṅga*) and verbal knowledge (*śābda*, that derived from a verbal expression). He regards inference as *pramāṇa*, unlike perceptual judgement, and considers verbal knowledge a special case of inference.[59]

Let us first examine inference. A unique particular, which is the only reality capable of causal efficiency, gives rise to perception or sensation if it is in a perceptible condition; then perceptual judgement follows it if there is no obstructing cause and if there is a condition for decision. However, not every particular is in a perceptible condition, and even if it is perceptible, there may be some obstructing cause which, by preventing correct perceptual judgement, gives rise to wrong judgement. Inference plays an important role in such a case.

A well-known example of inference in India is: when we see smoke on a faraway mountain, we can infer the existence of a fire there. According to

Dharmakīrti, an actual fire on the mountain is not perceptible (*parokṣa*) but it can be inferred by the following process[60]: (1) a particular fire produces particular smoke, (2) the mountain together with the smoke gives rise to perception of the smoky mountain, (3) perceptual judgement of a mountain in general and that of smoke in general follow that perception, (4) there arises recollection of the invariable relationship (*pratibandhd*) between smoke in general and a fire in general, and (5) finally conceptual knowledge of fire in general appears with reference to that mountain; namely, "there is a fire on the mountain." It is to be noted that though the immediate object of inference is a universal fire, it is essentially related with the real particular fire on the mountain.[61]

The above inferential process would not occur, if there were no wrong judgement or superimposition (*samāropa*) that there was no fire on the smoky mountain. In fact, inference is meant to dispel misjudgement and suspicion[62] just as perceptual judgement is meant to prevent them. For example, the misunderstanding that things last for some time can be removed by the celebrated proof of momentariness.

Like perceptual judgement, inference is conceptual knowledge and does not grasp a real particular object as it really is. It merely understands the object through one of its universal characteristics: we infer the real fire on the mountain through its universal characteristic, i.e. fireness.[63] Therefore, inference is essentially erroneous knowledge (*bhrānta*) unlike perception.[64] Nonetheless, like perceptual judgement, it is not contradictory knowledge (*visamvādin*), for it can lead to the satisfaction of our expectation; e.g. after inferring the fire, we can reach the actual fire if we climb up to the top of the mountain. Since inference is conceptual knowledge, it never lacks the nature of decision and determination which lead us to a practical activity.

Time and again Dharmakīrti discusses why inference, though essentially erronueous, can be *pramāna* or non-contradictory knowledge.[65] His reasoning is as follows: Inference does not deceive us but it leads to the fulfillment of our purpose (*arthakriyā*), for it is indirectly but invariably derived from the real object. Inferential knowledge of a fire in general is indirectly related to the real fire on the mountain because it is derived by the above-discussed process, and it is invariably related to the real fire because the smoke on the mountain, which is the object of the perception initiating the inferential process, is actually produced by that fire.

Dharmakīrti proposes two types of invariable relationships which enable inference, viz. causal relationship (*tadutpatti*, e.g. between a fire and smoke) and integral relationship or essential identity (*tādātmya*, e.g. between the nature of a tree and that of a Śiṃśapā tree).[66] As a matter of fact, the question of how conceptual knowledge like inference is related to reality constitutes one of the chief philosophical interests of Dharmakīrti. He explains it away by the Apoha theory that can be applied to various problems related to conceptual knowledge such as the object and the function of conceptual knowledge, the nature of universal, and the meaning of a word. Though of great importance and interest, a full discussion of the Apoha theory lies beyond the scope of this article.[67] In any case, inference can be regarded as non-contradictory because it is firmly rooted in reality.

So far there has appeared to be little difference between perceptual judgement and inference, but they differ significantly with regard to the problem of whether or not they reveal a new fact. To reiterate, perceptual judgement does not give new information; inference, however, can reveal a previously unknown real object, because the actual fire on the mountain is not directly perceived by one who relies on inference.[68] Thus, we can state that, unlike perceptual judgement, inference as defined by Dharmakīrti fulfills his criterion of *pramāṇa*.

Verbal knowledge is regarded by Dharmakīrti as a kind of inference. According to him, the hearer of a verbal expression infers what is intended by the speaker who utters it. He seems to presuppose the following process of verbal knowledge: When someone utters a word, say 'cow', he has a certain idea of cow in general in his conceptual knowledge. To one who hears the word 'cow', there occurs knowledge in which an idea of cow in general appears on account of his previous experience of verbal expression as well as impression (*vāsartā*) of linguistic convention.[69]

Like inference proper, verbal knowledge is non-contradictory in the sense that it can correctly indicate the intention of the speaker, or more precisely, that it can indicate what appears in the conceptual knowledge of the speaker when he utters a word (§1.1). Since the speaker's intention is not directly accessible to anybody but the speaker himself, it cannot be perceived by the hearer; hence, it can be said that verbal knowledge reveals a new fact as long as it indicates the speaker's intention correctly. Thus, verbal knowledge too fulfills Dharmakīrti's criterion of *pramāṇa*. There is, however, one important difference between inference proper and verbal knowledge;

namely, while the former is indirectly but invariably related with reality, as discussed above, the latter has no basis in reality (§1.1) because verbal knowledge is based wholly upon linguistic convention.

We have so far seen how perception and inference fulfill Dharmakīrti's criterion of *pramāṇa*: Non-contradictory knowledge which reveals a previously unknown real object. According to this 'pragmatic' criterion, both perception and inference are regarded as *pramāṇa* or true knowledge. However, it should be remembered that Dharmakīrti characterizes perception as 'non-erroneous' and inference as 'erroneous'. This clearly indicates that he holds another criterion of true knowledge and truth apart from the pragmatic one.

Dharmakīrti defines error (*bhrānti*) as 'that which grasps *x* as non-*x*' – the time-honored definition of error in India.[70] This implies that non-erroneous knowledge is that which grasps a real object as it really is. As mentioned above, one of the fundamental presuppositions of Dharmakīrti's epistemology is that the object is capable of projecting its image into the resultant perception and, hence, perception resembles its object. Thus, it is clear that Dharmakīrti believes in some kind of real 'correspondence' between perception and its object, namely, resemblance of the image.[71] In other words, he holds that perception possesses the true representation of its object. That is why perception is regarded as non-erroneous.
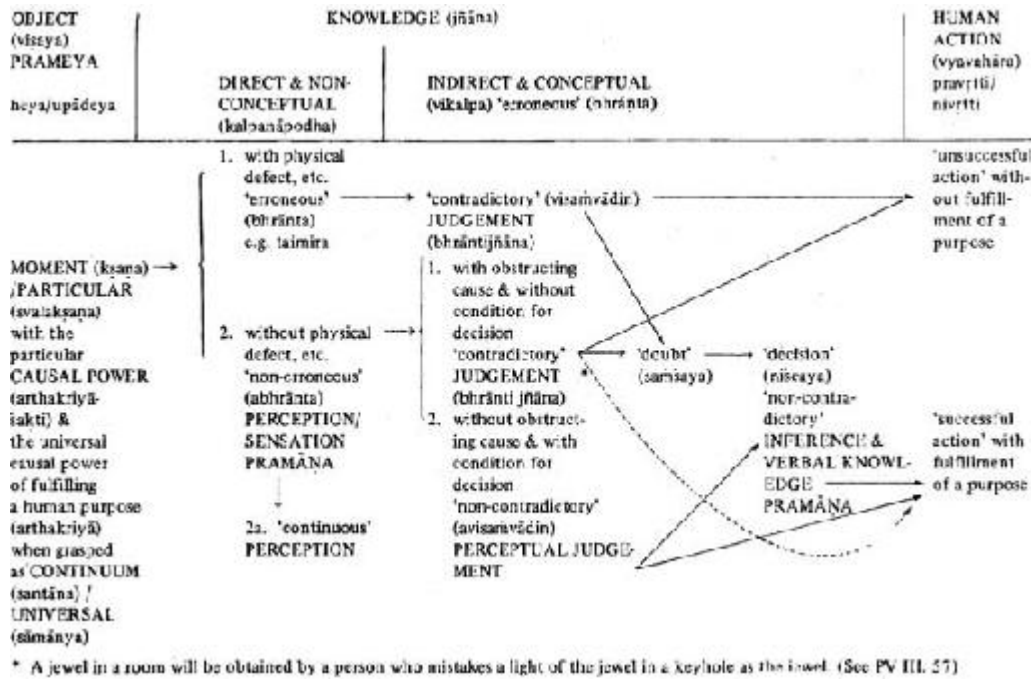
We have seen above that, according to Dharmakīrti, not only inference but also conceptual knowledge in general merely grasp one universal aspect or characteristic of the real object. In other words, inference takes a universal as its immediate object and possesses a partial and generalized picture of the object rather than the true representation of it. There is no real correspondence between inference and its real object, but merely an indirect causal relationship. In short, inference grasps the object through its universal characteristic. Therefore, Dharmakīrti considers inference to be erroneous. As a matter of fact, he even seems to suggest that within the entire process of inference described above only the initial perception of an inferential mark (*liṅga*) on the locus of inference (*anumeya*) is *pramāṇa*, because the rest of knowledge which contributes to inference is nothing but conceptual knowledge.[72]

Thus, we can say, from a purely epistemological point of view (not from the pragmatic one), that perception alone is regarded as true knowledge, while inference and other conceptual knowledge are erroneous.

CONCLUSION

Dharmakīrti holds two distinct criteria of true knowledge or truth. Namely, (1) from a pragmatic point of view and in the realm of continua, universals, universal causal powers and judgement, both perception (or sensation) and inference (including verbal knowledge) are non-contradictory and true in the sense that they can lead to the fulfillment of a human purpose and give new information about the object. (2) From a purely epistemological point of view and in the realm of moments, particulars, particular causal powers and sensation, only perception is non-erroneous and true in the sense that it alone possesses the true representation of its object. Inference is not true according to the epistemological criterion of truth, but it may be considered to be truer or at least more valuable than perception according to the pragmatic criterion of truth. For perception, devoid of the nature of decesion and determination, requires perceptual judgement in order to attain the fulfillment of a human purpose, while inference is of the nature of decision and determination and does not require any such knowledge. Finally, it is to be noted that perceptual judgement plays an indispensable role in both perception and inference, though it is not regarded as *pramāṇa* or true knowledge by Dharmakīrti.

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OBJECT (viṣaya) PRAMEYA · heya/upādeya | KNOWLEDGE (jñāna) | HUMAN ACTION (vyavahāra) pravṛtti/nivṛtti

KNOWLEDGE (jñāna):
DIRECT & NON-CONCEPTUAL (kalpanāpodha) — INDIRECT & CONCEPTUAL (vikalpa) 'erroneous' (bhrānta)

MOMENT (kṣaṇa) → /PARTICULAR (svalakṣaṇa) with the particular CAUSAL POWER (arthakriyā-śakti) & the universal causal power of fulfilling a human purpose (arthakriyā) when grasped as CONTINUUM (santāna) / UNIVERSAL (sāmānya)

1. with physical defect, etc. 'erroneous' (bhrānta) e.g. taimira → 'contradictory' (visaṁvādin) JUDGEMENT (bhrāntijñāna) → 'unsuccessful action' without fulfillment of a purpose

2. without physical defect, etc. 'non-erroneous' (abhrānta) PERCEPTION/SENSATION PRAMĀNA →
   1. with obstructing cause & without condition for decision 'contradictory' JUDGEMENT (bhrānti jñāna)
   2. without obstructing cause & with condition for decision 'non-contradictory' (avisaṁvādin) PERCEPTUAL JUDGEMENT

2a. 'continuous' PERCEPTION

'doubt' (saṁśaya) → 'decision' (niścaya) 'non-contradictory' INFERENCE & VERBAL KNOWLEDGE PRAMĀNA → 'successful action' with fulfillment of a purpose

* A jewel in a room will be obtained by a person who mistakes a light of the jewel in a keyhole as the jewel. (See PV III. 57)

NOTES

[1] For the study of the present topic, I owe much to Stcherbatsky, p. 59ff., Shah, p. 187ff., Steinkellner (=HB II), pp. 92–93, and Tosaki.

[2] See Mohanty, pp. 2–3.

[3] See e.g. HB I, p. 4*, 6–7 (*yat sat tat kṣaṇikam eva, akṣaṇikatve 'rthakriyāvirodhāt tallakṣaṇaṁ vastutvaṁ hīyate*) and p. 19*, 10–13. For the detail of Dharmakīrti's proof of momentariness, see Steinkellner (1968/69).

[4] See e.g. HB I, p. 3*, 14 (*arthakriyāyogyalakṣaṇaṁ hi vastu*), PV I.166ab, III.3ab, NB I.14–15. For the double meaning of the term '*arthakriyā*', see Nagatomi and Mikogam it corresponds to the double meaning of the term '*svabhāva*' discussed in Steinkellner (1971).

[5] While discussing epistemological and logical problems, Dharmakīrti generally presupposes the Sautrāntika ontology which admits two categories, viz. *rūpa* and *citta*.

[6] See e.g. HB I, pp. 8*, 22–9*, 3, and HB II, pp. 136–137.

[7] See HBT p. 37, 10f.

[8] *sajātīya-vijātīya-vyāvṛtta*; cf. Kajiyama (1966) p.56, Tosaki, p. 184, PV I. 40.

[9] The later Buddhist logicians admit two classes of universals: vertical (*ūrdhvatālakṣaṇa*) and horizontal (*tiryaglakṣaṇa*); the former is *sajātīya-vyāvṛtta* and the latter is *vijātīya-vyāvṛtta*; see Kajiyama, pp. 58–59. Since the vertical universal represents the concept of an individual, I shall

refrain from transalating '*svalakṣaṇa*' as an individual. I must mention that the characteristics of 'moment' and 'continuum' discussed in (ii) are not necessarily apparent in Dharmakīrti.

[10] See HB I, p. 15*, 15–23.

[11] See PV III.1,8, NB I.12–13, 16–17.

[12] See PV III.2.

[13] See e.g. HB I, p. 10*, 19f;cf. HB II, pp. 136–137.

[14] See HB I, p. 3*, 17–p. 4*, 1.

[15] See HB I, p. 12*, 1–18, PV III.46–47, Tosaki pp. 114–115.

[16] See HB I, pp. 10*, 19–11*, 10, HB II, p. 127.

[17] See PV III. 247–248; for *sākārajñānavāda*, see Kajiyama, fn. 148.

[18] I owe the idea of the particular and universal causal powers to Mikogami.

[19] See PV I.40–45.

[20] See NBT ad NB I.15.

[21] See e.g. HB I, pp. 3*, 14–16, 25*, 6–10, 17–19; cf. NBT, p. 84, 5ff (*tasmād adhyavasāyaṁ kurvad eva pratyakṣaṁ pramāṇaṁ bhavati...*), Kajiyama, pp. 44–45.

[22] A similar discussion is found in HB I, pp. 2*, 18–4*, 2.

[23] Cf. PV I.213, etc., Shah, p. 290ff.

[24] Cf. HB I, pp. 2*, 20–3*, 16.

[25] Cf. PV III. 301–319 (esp. 307ab & 311), PV in I, pp. 78, 12–82, 28, NB I, 18–21, II.4.

[26] Cf. HB I, pp. 2*, 20–3*, 16.

[27] Cf. PV III.54ab.

[28] See PV V ad PV II.5c (*tasmād ubhayam api parsparasāpekṣam eva lakṣaṇaṁ boddhavyam*). Prajñākaragupta suggests another view: the first definition is conventional (*sāṁvyavahārika*) and the second one is ultimate (*pāramārthika*), PV Bh p. 30, 22.

[29] Cf. HB I, p. 2*, 18–19 (*tatra yad ādyam asādhāraṇaviṣayaṁ darśanaṁ tad eva pramāṇam*) and HBT p. 25, 17–18 (*anadhigataviṣayatvam arthakriyāsādhanaviṣayatvaṁ ca pramāṇalakṣaṇam*), TB h p. 1, 5 (*pramāṇaṁ samyagjñānam apūrvagocaram*), etc. Since Dignāga gave no general definition of *pramāṇa*, Dharmakīrti was probably the first Buddhist logician who discussed that topic, while his senior contemporary Mimāmsaka, Kumārila, gave the definition of *pramāṇa* which was very similar to Dharmakīrti's (see two verses of Kumārila quoted in Ratnakīrti's Sthirasiddhidūsaṇa, Mimaki, pp. 88–89).

[30] Cf. PS I.8cd; see Bandyopadhyay.

[31] See PV III.311–317.

[32] See PV III.305–306, Tosaki p. 399, NB I.20.

[33] See PV III. 310.

[34] See e.g. NB h ad NS I.1.1, Hattori p. 99.

[35] See PV III. 327, 354, etc., NB I.10 (*sarvacittacaittānāṁ ātmasaṁvedanam*).

[36] For Dharmakīrti 'experience' (*vyavahāra*) is threefold, viz. mental (*jñāna*), verbal (*śabda*) and physical (*pravṛtti*); see PVSV p. 4, 8, NBT p. 122, 1–3, Kajiyama, p. 79.

[37] See PV V, p. 7, 16 (*tattvatas tu svasaṁvedanamātram apravṛttinivṛttikam*). Cf. AK, p. 31 (*nirvyāpāraṁ hîdaṁ dharmamātraṁ hetuphalamātram*); Hattori, p. 107.

[38] See Mohanty, Intro.

[39] See PV V, p. 6, 17–21; cf. Kajiyama, p. 27 & fn. 19.

[40] See PV V, p. 7, 21–23.

[41] See PV III, 53d.

[42] See HB I, pp. 3*, 17–4*, 1.

[43] See PV III.1ab, PV in I. lab, NB I.2–3.

[44] See PV in I. 4a, NB I.4.

[45] See PV IH.293–300; cf. PV in I. p. 40. 3–5 & NB I.6.

[46] See e.g. PVSV, p. 31, 21 (*napratyakṣam kasyacin niścāyakam*); cf. Kajiyama, p. 126.

[47] See Note 14 above.

[48] Cf. Kajiyama, p. 126.

[49] See PV 1.44 and Svavṛtti.

[50] See PV I.58 and Svavṛtti; cf. SSS IV.7 (*parivrātkāmukaśunām ekasyāṁ pramadātanau, kuṇapaḥ kāminī bhakśyam iti tisro vikalpanāḥ*).

[51] For 'perceptual judgement', see Stcherbatsky, p. 204ff, Shah, pp. 278–281, and my forthcoming article, "On Perceptual Judgement".

[52] See PV II.3a–b_1 (= § 1.2).

[53] See NM p. $3b^{28}$–c^1 (*samvṛtisaj-jñāna*); cf. PS I.7cd–8ab.

[54] See PV III. 290.

[55] See PV I.68–69.

[56] See PV SV ad PV I.49 & 57.

[57] See HB I, p. 2*, 22, p. 3*, 11.

[58] See PV I. 48–49 and Svavṛtti; there are other names for 'perceptual judgement', e.g. *ekapratyavamarśa* (PV I.73, 109, 119), *adhyavasāya*, etc.

[59] See PV I. 216.

[60] Cf. Shah, p. 278.

[61] See PV III.81–82, Tosaki p. 154ff.

[62] See PV I.45, 47.

[63] See PV III.54, Tosaki, pp. 124–126.

[64] See PV in II.1cd and Comm. (*atasmiṁs tadgrāho bhrāntir api sambandhataḥ pramā// svapratibhāse 'narthe 'rthādhyavasāyena bhrāntir apy arthasambandhena tadavyabhicārāt pramāṇam*).

[65] See PV III.55–58, 69–72, 81ff, PV in II quoted in Note 64; cf. Shah, p. 276ff.

[66] See e.g. PV SV, p. 17, 12–14, NB II.21–22, III.31.

[67] For the Apoha theory, see Frauwallner, Vetter, p. 47ff, and Steinkellner (1971), p. 189 ff.

[68] See HBT pp. 28 & 34.

[69] See PV I.205–206 and Svavṛtti.

[70] See PV in II quoted in Note 64; cf. NB h and NS I.1.4 (*yad atasmiṁs tad iti tad vyabhicāri*), etc., Schmithausen, pp. 154, 156.

[71] Note the terms like '*artharūpatā*' (PV III.305), '*meyarūpatā*' (PV III.306) and '*arthasārūpya*' (NB I.20).

[72] See HB I, p. 4*, 1–2.

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NBT: *Nyāyabindu-ṭīka of Dharmottara*.

NM: *Nyāyamukha of Dignāga*, Taisho No. 1628.

NS: *Nyāyasūtra of Gautama*, ed. with NBh by G. Jha, Poona (1939).

PS: *Pramānasamuccaya of Dignāga*, Chapter I edited and translated in Hattori.

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DOES INDIAN EPISTEMOLOGY CONCERN JUSTIFIED TRUE BELIEF?*

Of the various topics which are taken up in classical Indian philosophy, *prāmāṇyavāda*, equated with epistemology in the critical literature, strikes the Western philosopher of today as being most akin to something of deep concern to him. On the basis of the translations of the Sanskrit literature provided in the best contemporary expositions of Indian thought, questions about the nature of knowledge and truth appear to be clearly broached in Indian texts, and the intricacies of some of the analyses to be found in those texts rival the intricacies of analysis as practiced by the best of recent and living Anglo-American professional philosophers.

In my opinion the most outstanding exposition of Indian thinking on the topic of *prāmāṇyavāda* is to be found in the work of Jitendranath Mohanty, and most notably in his ground-breaking book, *Gaṅgeīsa's Theory of Truth*.[1] In his Introduction to a translation of the *(Jñapti) Prāmāṇya* section of Gaṅgeśa's *Tattvacintāmaṇi* Mohanty first disambiguates a number of key terms and lays out in exemplary fashion the issues which appear to separate the two sides in the classical polemic concerning whether the awareness of *prāmāṇya* is "intrinsic" (*svataḥ*) or "extrinsic" (*parataḥ*). This review distinguishes the positions not only of the many important Indian systems involved – Mīṃārṇsā, Advaita and Nyāya – but also succinctly identifies the positions of subschools within these as well as the opinions of individual philosophers found in their writings. This Introduction is followed by a faithful translation of Gaṅgeśa's chapter with copious explanatory remarks without which the *Tattvacintāmaṇi*, extremely laconic in its style, could not be understood by anyone not initiated into Sanskrit and Navyanyāya. The entire volume is a tour de force, a subtle, critical

illumination of the most intricate kind of materiāls calling for that rare combination, brilliance as Indologist and philosopher rolled into one.

Though the paper that now follows takes issue with some of Mohanty's conclusions, this in no way should be thought to mitigate against what I have just said about the book. It is only because of rare efforts such as his that it becomes possible to push further into important matters and argue issues in a fashion that promises to provide general insights.

Mohanty's conclusion to his Introduction is that both the *svataḥ* and *parataḥ* theories about awareness of *prāmāṇya* are "valid in their own ways"[2] because two critical terms, "jñāna" and "prāmāṇya", have different meanings for the proponents of the two competing views. Translating "jñāna" as "knowledge", Mohanty writes

"The *svataḥ* theory understands 'knowledge' in a strict sense such that the theory becomes an analytic consequences of its conception of knowledge",

whereas

"the *parataḥ* theory takes "knowledge" in a rather weak sense so as to include within its scope both true knowledge and false knowledge."[3]

As for "prāmāṇya", translated as "truth", Mohanty distinguishes some three different senses of this term that are held by one or another of the *svataḥ* proponents, and says that "The Naiyāyikas mean something else by truth",[4] since the *parataḥ* view is referring to the truth of a belief, whereas the *svataḥ* theorists are talking of the truth of knowledge. The former allows of an opposite; the latter does not. Thus

"the two points of view do not necessarily clash but may be brought into a happy reconciliation",[5]
"both the theories are thus in their own ways correct."[6]

The conclusion Mohanty arrives at is that the *svataḥ* vs. *parataḥ prāmāṇya* controversy is another illustration of what I have called[7] the "incommensura-bility thesis", to the effect that no real substantive issue has been joined since, though the two parties think they are talking about the same thing, they aren't. An issue taken by classical Indian philosophers over many centuries to involve a fundamental clash of views turns out to be merely verbal. As a result, Mohanty adds, some things the tradition says, e.g. about the related question of the origins of truth, turn out to be things

they shouldn't have said; because of verbal confusion, they should have said something else.[8]

Now there are, I realize, those who find the incommensurability thesis inherently attractive, promising eventual sweetness and light free from controversy. I am not one of those. It seems to me that Mohanty's conclusion downgrades the importance of epistemological discussions in Indian philosophy. Thus, to take a pertinent example out of Mohanty's own material, Gaṅgeśa's attempt (beautifully explained by Mohanty) to find a formulation common to all the proponents of *svataḥprāmāṇya* so that Nyāya arguments against that thesis will apply to all versions of the thesis at once, turns out to be a kind of pointless effort, since if the incommensurability thesis is true the Nyāya arguments miss the opposition completely. More generally, one would suppose that the many generations of thinkers as subtle and profound as those responsible for the polemics in question would have been clever enough to recognize that the issue they were expending so much energy on was a verbal one. I think the issue was not a verbal one, that it represented a real and important confrontation of opinions. Furthermore, to see what the issue is cannot help but illuminate wider issues of comparative study, since Indian epistemology features a conception of knowledge which is nonequivocally shared by all its schools but nevertheless contrasts with the currently favored conception of knowledge in Western philosophical analysis. Since all is not well with the current conception of knowledge in Western philosophical analysis, it would seem that any epistemologist should be interested in exploring the matter.

Specifically, Mohanty takes as a "phenomenological description" of knowledge the account of it, widely held in contemporary analytic philosophy, as justified true belief.[9] My argument in this paper is that Mohanty's conclusion (reported above) is conditioned by his acceptance of the justified true belief account of knowledge, but that such an account is foreign to Indian thought, so that Mohanty's conclusion distorts the situation and leads to the unwelcome claim of incommensurability. Having argued for these points I shall go on to speculate whether the Indian conception of knowledge can be analyzed at all, if so, how, and whether any Western notions are illuminated by such analysis.

Mohanty chooses to translate the Sanskrit term "jñāna" as "knowledge", following others. He does this despite his own admission that such a

translation is "definitely misleading"[10] and in fact incorrect. Having admitted that, he then "proposes" to use the English word "knowledge" in the way the Nyāya uses "jñāna".[11] He notes, however, that the word "pramā" translates as "knowledge",[12] and he himself uses "knowledge" regularly to render "pramā". Thus he has the same English word rendering two distinct Sanskrit expressions, expressions which on his own showing connote distinct senses. Since this evidently invites confusion, I prefer to provide my own exposition of the two notions, leaving the Sanskrit terms untranslated until I have argued the case for the proper translations.

A *jñāna* is, in the relevant sense for us,[13] an act[14] of awareness. It does not name a disposition (say, to respond in a certain way when meeting a certain sort of thing). A *jñāna* is something which happens at a time, an occurrent. If it involves belief, it does so only in the sense of a believing as a fleeting act of awareness. A *jñāna* is not a belief in the dispositional sense. And not all *jñānas* are beliefs even in the occurrent sense – believing is, or may be, only one sort of *jñāna*. Any act of awareness which has intentionality constitutes a *jñāna*. Entertaining a doubt, vaguely sensing the presence of something or other, drawing a reductio ad absurdum inference, and understanding someone's meaning are all *jñāna*. None of them are believings. And since they are not beliefs (in any sense) none of them are true beliefs, and none of them are justified true beliefs. Rather, a *jñāna* is, as indicated, *an* awareness. It is not knowledge, or even *a* knowledge *per se*, though it remains open to further scrutiny whether all, some or no acts of awareness constitute instances of knowledge in some sense other than justified true belief.

A *pramā* is an awareness which has a certain essential property, called *prāmāṇya*. Mohanty renders "prāmāṇya" as "truth" and argues that there are "different types of concepts of truth to be met with in the different versions of the *svataḥ* theory."[15] But I do not find that he demonstrates this claim. He has not shown that the several versions of the *svataḥ* theory represent different meanings of "prāmāṇya". They may be different theories about how we become aware that something answers to a single concept. Indeed, Gaṇgeśa clearly assumes the latter to be the case. Othenvise he would hardly have proposed his account of what the several versions of the *svataḥ* theory have in common with his own, i.e., what *prāmāṇya* is.

Gaṅgeśa approach is to set forth a univocal account of what the opposition's thesis is to collect the best arguments for that thesis, to refute those arguments, and then to offer arguments in favor of the opposite thesis his own. Gaṅgeśa appears to believe that he and his opponents are debating a thesis whose formulation is in terms of concepts they both understand and share. Before we settle for the incommensurability solution proposed by Mohanty, I suggest we should examine the notion of *prāmāṇya* to see if we cannot, using Gaṅgeśa's suggestions as a guide, find a meaning for the term which will make the debate a real rather than a sham confrontation.

First, some formal features of a *pramā*. As we have seen, a *pramā* is an awareness. Thus, it is an occurrent, not a clisposition. So, if we do choose to translate "pramā" as "knowledge" we must immediately recognize that it is not knowledge in the sense of justified true belief, where "belief" means the disposition to respond in appropriate ways when stimulated.

Nevertheless, if we consider the notion of an occurrent believing I think there is reason to think that a *pramā* can be considered to be such. There is Sanskrit terminology to the point. A *pramā* is a type of awareness which has the property of being an ascertaining (*niīcaya*), as opposed to another type of awareness, doubting *(samīaya)*. *Pramā* is not the only such type of awareness: a *viparyaya*, erroneous or false awareness (*mithyājñāna*), is also a *niīcaya*. In the case of both *pramā* and *viparyaya* one has an awareness that is not accompanied by a feeling of doubt or puzzlement, one is not vacillating among more than one alternative hypothesis, but "declaring" for one thesis among alternatives, although he may not express it verbally and is not neces-sarily conscious of his nonvacillation. So perhaps a *pramā* is a belief after all, though in the occurrent rather than the dispositional sense. And if it should turn out that it must be true ās well, then it may be thought that *pramā* is not so far removed from justified true belief after all. Unfortunately, as we shall see, it is not at all clear that a *pramā* must be true in the sense that the justified true belief account of knowledge wants it to be.

Every *pramā* is intentional. It has a content (*yiṣaya*), as every awareness has. To decide whether truth is a necessary condition for an awareness to be a *pramā* one must carefully assess the relation which a *pramā* must bear to its content. We want a relation, R, which holds between any *pramā* and its content, a relation which can be admitted by every Indian philos-opher to hold between a *pramā* and its content regardless of the particular theory he

or any other Indian philosopher proposes about the nature of or proper analysis of R. That is, we want an account of R, and thus an account of the meaning of "prāmāṇya", which will accommodate what Gaṅgeśa says his opponents propound as well as what he, Gaṅgeśa, pro-pounds. Hopefully, to go a little farther, it will accommodate what all Indian systems which have been involved in the controversy over *svataḥ* vs. *parataḥ prāmāṇya* can agree on as a meaning for "prāmāṇya". Thus the account of R must not beg issues between, e.g., "idealist" systems like Buddhism or (perhaps) Advaita and "realist" ones such as Nyāya and Mīmārṇsā. The incommensurability thesis contends such an account cannot be found. Let us see if we can't find one.

My suggestion about what R is, is this: where "J" stands for a *jñāna*, and "C" stands for its content,

> R_J iff J apprehends (1it. "measures out") C in accordance with the purpose that motivated J.

This suggestion arises from a combination of considerations. The verb complex *pra + mā* literally means to measure something out, by which I take it is meant to cognize something in a certain way, a way that involves at least a minimal structure. Another consideration is that when one seeks to find a Sanskrit term by which R is glossed one regularly finds "yathārtha". This compound has regularly been translated as "as the object is" or something to that effect, a translation that seems to bolster the interpretation of *pramā* as requiring correspondence of J's structure with the structure of some object already there independently of the cognizer. But it needn't be understood that way. The compound can quite as easily mean "as the purpose is", for "artha" frequently has the sense of "purpose", as in the phrase "purusārtha", meaning human aims or purposes.

My suggestion, then, is that with R, so defined, as the relation between a *pramā* and its content, we can make sense of Gaṅgeśa's chaim that the analysis he proposed provides a univocal meaning for "prāmāṇya", thus providing a ground for a confrontation between *svataḥprāmāṇya* and *parataḥprāmāṇya*. Next, I want to examine whether this suggestion can be supported from the literature.

Gaṅgeśa's analysis runs as follows:

"*Prāmāṇya* is either (*x*) being an awareness whose chief qualifier, *x*, is in what possesses *x*, or (b) being an awareness of a relatedness of *x* to what possesses *x*."[16]

This is to say that a *pramā* is an awareness (a) whose predicate term (as we might put it) belongs to its subject term, or (b) which attributes some property, *x*, to its content which has *x*. Gaṅgeśa argues, in favor of his analysis, that only when (a) or (b) is satisfied does one undertake action predicated on the awareness in question. In addition, he argues, this is the most eco-nomical account of what *prāmāṇya* is.[17]

It is important to emphasize that Gaṅgeśa pūts forth this analysis as a conception which is common to all of the theories about *prāmāṇya*. As Mohanty explains, Gaṅgeśa's idea is that, however each different *svataḥ* theorist thinks the *prāmāṇya* of an awareness J_1 is made known to us, in any case *what* is made known is a combination of two things, (1) that the qualificandum (i.e., the subject term) of J_1 possesses a certain property, and (2) that that property is the chief qualifier (predicate term) of Jj. The claim is that the joint satisfaction of (1) and (2) is a requirement common to all those who hold to *svataḥprāmāṇya*, and that it is likewise a necessary condi-tion (though possibly not a sufflcient one) even according to *pratahprāmāṇya* that (1) and (2) be satisfied whenever *prāmāṇya* is present.

Among those philosophers who have become caught up in the *svataḥ/parataḥprāmāṇya* debate we may count some Buddhists, several kinds of Mīmāmsakas, the Naiyāyikas and not a few Advaita Vedāntins. My discussion will be content with these, though there may be others as well. What I am about to argue, then, is that, for each of half a dozen distinct formulations by Indian philosophers of what "prāmāṇva" means, each of them satisfies (1) and (2) and also provides an instantiation of what I have proposed to be the relation R. If that is correct, it suggests that Gaṅgeśa's thesis about *prāmāṇya* being a univocal notion holds good, at least provided the relation R is understood my way. Then I shall show that, understood the way Mohanty understands R, the *svataḥ* theory indeed becomes trivialized. But, as I see it, that is a reason to prefer my understanding of R, not his.

Let me start with Buddhism (although Mohanty's discussion leaves the Buddhists aside, no doubt because Gaṅgeśa's discussion does not involve them). In Dharmottara's *Nyāyabindutīkā* we flnd the following passage explicating the notion of "right awareness" (*samyagjñāna*, which I take to be his term for *pramā)*,

"Right awareness is awareness that is not contrary to what it is right to attribute (to something) (*avisamvādaka*). In ordinary usage it is said that what is right to attribute (to something) (*sarṇvādaka*) is that which causes us to attain a purpose (or a thing, *artha)* which has been previously

identified…. 'Attaining the purpose' nere means just causing our activity to have to do wkh the purpose (or thing, *artha*) identified, and nothing else. Now, awareness does not produce the purpose, but it does cause us to attain it. In causing a person to initiate activity toward a purpose, it causes him to attain it. This initiating of activity is merely the identification of a content of activitv…".[18]

As I read this passage, Dharmottara's idea is that the function of a right awareness is to direct the attention of the person having it toward the content of that awareness as being relevant to a previously identified purpose or purposive object. That sort of awareness which does this regularly deserves to be called a *pramāṇa*. What sort of awareness does this regularly? According to Buddhism of Dharmottara's school it is perceptual awareness, defined as direct awareness, i.e., awareness which does not involve conceptual construction(*kalpanāpodha*).[19] What we might call sensation constitutes such perception, since it is a moment of sensorv awareness prior to association with language or memorv. Sensation is right awareness par excellence for the Buddhist, since its entire function consists in calling its content to our attention as something which is a possible object of successful purposive activitv.

For Dharmottara, then, the relation R (between right awareness and its content) requires that the awareness apprehends the content as an objective suitable for successful purposive activitv. This is an instance of my relation R. And if (as Gaṅgeśa himself will not admit) sensation can be supposed to ascribe a propertv *x* to something, then a right awareness ascribes to its content the propertv of being an objective of successful activitv, which propertv that content (which Buddhism calls the *svalakṣaṇa)* indeed possesses.

Next Iet us consider those schools which are treated by Gaṅgeśa himself. First we may consider the Prābhākara Mīmārṇsaka. Mohanty succinctly expresses the Prābhākara notion of *prāmāṇya* when he points out that according to the Prābhākara "there is no cognitive error"; rather, he writes,

"when we say a knowledge" (i.e., an awareness – my interpolation) "is false we really mean – the Prābhākara seems to be saying – that it leads to unsuccessful behaviour."[20]

A few lines later, Mohanty indicates that a rather late Prābhākara, Rāmānujācārya, distinguishes between three relations, *viz., yāthārthya, prāmāṇya* and *sarṇyaktva*.

"*Yāthārthya* belongs to all awareness (including memory and what ordinarily passes for erroneous apprehension), *prāmāṇya* to all awareness excepting memory (but including even the so-called

erroneous apprehension) and *saṃyaktva* only to such knowledge other than memory which leads to successful practice."[21]

"Saṃvak" is the same term we translated as "right" in the Buddhist context of "right awareness". The Prābhākara view thus approximates to that of the Buddhist, with some added distinctions which do not affect my point. That point is, once again, that both my analysis of R and Gaṅgeśa's characterisation *ofprāmāṇya* are satisfied on the Prābhākara account. As in Buddhism, the function of a *pramā* is to present to us a content which may be an objective of successful activity – the Prābhākara adds that it must do so for the first time, that it not be a remembrance, but that does not materially affect the point being argued.

   Turning next to the Bhāṭṭa Mīmāṃsakas, followers of Kumārila, and once again considering Mohanty's excellent review of their views,[22] we find a divergence of explanations but essential agreement that either *prāmāṇya* involves the relation that we have seen Buddhists and Prābhākaras to emphasize, viz., the picking out of a content as an objective of successful activity, or else (for some Bhāṭṭas) it involves a relation they term "viṣayatathātva", which might be rendred as "(Js) being as its content is". I submit that this relation can well be taken as equivalent to my R, e.g. as a pragmatic verification relation, and that it also nicely satisfies Gaṅgesa's analysis of *prāmāṇya*.

   A third type of Mīmāmsā is that known as the Miśra school, a system whose literature is largely lost to us but which appears in an important role in Gaṅgeśa's discussions. The Miśra account of *prāmāṇya* is rather more complex than those of the other Mīmāmsakas. The Miśra analysis is that *prāmāṇya* is "tadvadviśesyakatve sāti tatprakārakatva",[23] that is to say, a *pramā* must satisfy two tests, (1) that the J in question must present a qualificand, C, which has a chief qualifier, Q, and (2) that it must present C as qualified by Q. When we compare this with Gaṅgeśa's analysis we find that (1) and (2) are precisely (1) and (2) of Gaṅgeśa's analysis. And since the *pramā* J apprehends C as qualified by Q in accordance with the purpose which informs J (whatever purpose that may be) the Miśra analysis also fits the requirements of my R.

   Next, consider the Vivaraṇa Advaita Vedānta school's analysisof *prāmāṇya* as "arthaparicchedasāmarthya",[24] i.e., as the property of being an awareness which is capable of picking out (that content which accords with)

its purpose.[25] It should be clear that this conception once again satisfies both my account of R and Gaṅgeśa's analysis of *prāmāṇya*.

Finally, we must consider the Nyāya analysis itself, which is just that which Gaṅgeśa himself proposed, viz., the simultaneous satisfaction of (1) and (2), "tadvati tatprakārakatva".[26] *A fortiori*, this satisfies (since it is identical with) Gaṅgeśa's analysis of *prāmāṇya*. Does it fit my analysis of R? Yes, certainly if the purpose motivating the awareness is to apprehend its content in such a way as to correspond with some assumed external object with a fixed, independent structure, which is what scholars have usually supposed Nyāya thinks the purpose of *pramā* to be.

Mohanty is puzzled by the fact that Madhusūdana Sarasvatī, a famous Advaita Vedāntin, also adopts the very same terminology in his analysis of *prāmāṇya* as does Gaṅgeśa.[27] The reason he is puzzled is that Nyāya and Advaita differs so widely in epistemology, the former carefully distinguishing what is externally and independently real from what is internai, mental and perhaps unreal, the latter blithely uninterested in such a contrast. Mad-husūdana views *tadvati tatprakārakatva* as "belonging to all apprehensions, not excluding error,"[28] writes Mohanty, whereas Nyāya thinks it picks true apprehensions out from false ones. But all of this underlines what I am driving at, which is that "prāmāṇya" does not translate as "truth" (i.e., correspondence with reality), despite Standard translation practice, but rather connotes a more pragmatic criterion of being capable of producing or helping to produce satisfaction in action.

So, *prāmāṇya* is not belief (at least as disposition), and for Indian philosophy in general it isn't truth (as correspondence with a fixed antecedent nature of an independently real object). But the justified true belief account of knowledge assumes that knowledge is just belief which corresponds to reality. For that reason, if "knowledge" suggests, as I think it tends to, justified true belief to English readers it should be eschewed as a translation of "pramā".

To put it another way, on the analysis which Gaṅgeśa offers of *prāmāṇya*, understood in the terms suggested by my analysis of relation R, a *pramā* may not correspond with the nature of things (it is "compatible with error", as Mohanty expresses it). Whether or not *prāmāṇya* is confined in its application to awarenesses which attribute to their content properties which an object corresponding to that content actually has is not a matter of the deflnition of "prāmāṇya" (as it *is* taken to be a matter of the deflnition of

"truth" in Western contemporary thought), but constitutes rather further theory about *which* awarenesses satisfy the purposes motivating them. Naiyāyikas think that further theory which requires correspondence is the correct one; other systems, such as Buddhism and Advaita, do not.

Mohanty finds that the *svataḥ* and *parataḥ* theorists do not confront each other because they have different meanings v of *prāmāṇya* in mind. The issue between the two views is presented in the literature to be as follows, according to Mohanty. The *svataḥ* theorist holds that whatever awareness first makes us aware of some awareness J_1 (whether that be J_1 itself, some inference, or a subsequent "aftercognition"), that awareness makes us aware that *Ji* has *prāmāṇya*. The *parataḥ* theory denies this claim. Now Mohanty, interpreting "prāmāṇva" as "truth" and "jñāna" as "knowledge", arguesthat "the (consequence of its conception of knowledge".[29] Since the *svataḥ* theory is therefore true (necessarily, though trivially, so) Mohanty reasonably enough concludes that the *paratah* denial of it can only be saved from absurdity if we suppose that the *parataḥ* theorists mean something else by "jñāna".

But, as we have seen, "jñāna" doesn't mean "knowledge" at all, but awareness. So one might conclude that Mohanty has been led astray by a mistranslation. However, it's not that simple. For even when we agree to translate "jñāna" as "awareness", while retaining "truth" for "prāmāṇya", the *svataḥ* theory stili appears to be either trivial or else so absurd that we must conclude that we haven't understood it at all. For consider: the *svataḥ* theory is the theory that, for any awareness J_1, whatever awareness first makes us aware of J_1 makes us aware that J_1 is true. But if "truth" means correspondence with reality then either all awarenesses are true (and there can be no error at all) or else we aren't talking about becoming aware that J_1 *is* true, but merely about coming to *think* that J_1 is true. But that is absurd – if I entertain a false awareness J_1 and (then) come to an awareness of J_1, then on that reading of the *svataḥ* position I could not thereby think that J_1 is false; indeed, I could not at that time even doubt whether J_1 might be false. But we do have such doubts. So either the *svataḥ* theory is a trivial one (since all awarenesses are ipso facto true), or it is so absurd as to constitute its own refutation. Seeing this, one can understand why Mohanty finds an equivocation on "truth" to be the only way to explain how an issue of any consequence was imagined by anyone to have been raised.

Now I am arguing there is a nontrivialized and far from absurd issue which the *svataḥ/parataḥ* debate is about. What is that issue? I take it it is this. The *svataḥ* theorist holds that, whatever causes us to be aware of J_1 causes us to be aware that Ji can satisfy its purpose, i.e., can lead to successful activity of the relevant sort. The *parataḥ* theorist denies this, holding that in order to become aware that J_1 can satisfy its purpose we need a further awareness, presumably inferential, which is over and beyond the awareness which causes us to be aware of Ji itself. The point comes out most dramatically when we contrast the Miśra theory with the Naiyāyika's. On both theories we first have an awareness, J_1, which is not self-aware but for the awareness of which we require an "aftercognition" J_2. The Miśra theory holds that J_2 not only makes us aware of Ji but also of J_1 's *prāmāṇya*, i.e., J_1's capacity to evoke successful activity. The Nyāya theory denies that J_2 makes us aware of J_1's *prāmāṇya*. It holds that only an inference, e.g., one based on successful action or reasons to think that such activity would be successful, can attest to J_1's *prāmāṇya*.[30]

Notice that it doesn't matter to the *prāmāṇya* debate so posed whether J_1 is true or false, or thought to be true or false. Whether a theorist holds that all awarenesses are true, or all are false, or that some are and some not, the *prāmāṇya* issue remains a real one. Nor does it matter whether a theorist thinks that only true awarenesses can lead to successful activity or, alternatively, thinks that some awarenesses capable of leading to successful activity can be false. The issue concerns whether, when one becomes aware that J_1 is a potential purpose-satisfier, he does so through the same awareness by which he became aware of J_1's occurrence, or through some *other* awareness.

Gaṅgeśa's main argument against the *svataḥ* theorist is that if the *svataḥ* theory were correct it would make it impossible for one to doubt J_2's *prāmāṇya* immediately after J_1's occurrence. That is, since the *svataḥ* theory says that the awareness by which we first become aware that J_1 occurred always involves an awareness that J_1 can satisfy its purpose, has *prāmāṇya*, this blocks our doubting at that moment that it has *prāmāṇya* – but we *do* in fact sometimes doubt the worth of a J as soon as we become aware that it has occurred. Now Gaṅgeśa, no doubt, as a Naiyāyika believes

that only true Js can satisfy their purposes, so *his* point can be stated as Mohanty renders it, in terms of 'truth' instead of satisfaction of purpose. But the argument is supposed to tell against an opponent who does not share Gaṅgeśa's belief on that score; the argument's force is a general one not dependent on any particular account of the circumstances that make J a *pramā*.

How then can we translated "prāmāṇya", given that "truth" is misleading as such a translation? We are by now reminded of the writings of the pragmatists, notably William James in his jousts with the notion of truth, which I suspect led him to a position closely resembling that of Indian epistemology. James conceived of truth as "what works", though he was sometimes (not always) cagy about what "working" amounted to and failed to appreciate the difference between his account of truth and the correspondence account with which his view was at odds. We might borrow his term and translate "prāmāṇya" as "workability". A workable awareness *(pramā)*, then, is one that is related to its content by R, i.e., apprehends its content in a manner leading to the satisfaction of the purpose motivating it.[31] Then, the argument to this point might be summed up in the following way: all the parties in the *svataḥ/parataḥ* debate agree that the debate is about workable awarenesses.

It is irrelevant to this debate whether an awareness is held to be workable if and only if it is true. Some (the Nyāya) say so, others (Advaitins, Buddhists) deny it. The opposite of "workable" is not "false" but "not workable" (*apramā*), which term is intended to characterize all kinds of awarenesses which cannot lead to the satisfaction of a motivating purpose. The term *apramā* ranges, as we saw, over doubtings, errors and reductio ad absurdum arguments. When one is in doubt, he is not satisfying a purpose (doubting is not a purpose). Errors (i.e., perceptual errors, like the mirage) frustrate our purposes by misleading us. Finally, in a reductio argument the purpose is to prove one's own position (so we're told) but what the reductio *(tarka)* does is merely to convict the opponent of a fault, which does not (at least by itself) effect any proof (unlike a proper inference, where the conclusion does indeed prove just what was intended to be proved).

It is suggestive, furthermore, that proving what is already accepted *(siddha-sādhanatā)* is counted as a fallacy (and so as *apramā*, nonworkable) even though what it says is true.

The standard Western reply to the kind of position that emerges from this analysis of Indian epistemology will surely echo the usual response to a reading of James on truth: that the pragmatist or "workability" conception conflates truth with what has value. Recent philosophical analysis has adopted, with a severity bordering on the obsessive, noncognitivism or nonnaturalism in value theory. What used to be known as the "fact-value gap" is nowadays such a chasm that it is hard to convince anyone that there is one. It should be no surprise that classical Indian thought takes the naturalistic position on values; after all. so did Western thought in classical times and until a couple of centuries ago. Justified true belief, as an analysis of knowledge, is understood strictly along noncognitivist lines. A belief, in the sense understood there, must be something capable of being evidenced, and the evidence must be empirical, perhaps mathematical, but clearly not ethically or aesthetically normative. (Of course, one can have justified true belief *about* what norms are in force; for that one can produce nonnormative evidence. What one can't have is a justified true belief that *x* should be done, thought, etc.) The "true" in justified true belief is descriptive truth, possibly fudged to encompass "descriptions" of mathematical or logical "facts" (though these are actually linguistic facts, if facts at all, and normative otherwise).

I cannot undertake at this point in this paper to investigate the sources of the noncognitivist obsession. But insofar as the motivation for maintaining it may be supposed to mutually support any attractiveness which the justified true belief account of knowledge might be supposed to have, I shall conclude with some observations which seem to me to suggest that all is not well with the JTB account (as I shall call it hencefonvard).

It is sometimes suggested that the JTB account is embedded in ordinary language (ordinary English, that is). "There is a certain absurdity", writes Mohanty,

"in saying both 'I know that S is p' and 'S is p is false'. One cannot know and yet be in error with regard to what he knows. If something is known, it follows necessarily that it is true."[32]

But, as Austin has argued, that may be because of what it is to *say* "I know", involving conversational implicatures or performatives. We should not draw a conclusion about the nature of something from the circumstances involved in certain special kinds of locutions involving terms for it. And furthermore, Austin argues,

"We are often right to say we *know* even in cases where we turn out subsequently to have been mistaken – and indeed we seem always, or practicatty always, liable to be mistaken."[33]

The JTB account is far more rigorous than the subtle possibilities of ordinary language can support.

Again, a growing number of contemporary philosophers have seriously questioned whether in ordinary usage knowledge entails belief, as the JTB theory entails it must. Zeno Vendler has argued that "I believe that p", far from being required by "I know that p", is incompatible with it, since in the relevant contexts to say that one believes is precisely to indicate that one *doesn't* know.[34]

These worries address the question of whether "knowledge" actually does in ordinary parlance answer to the JTB account. I suspect many contemporary analytic philosophers cling to the JTB account, unmoved by ordinary language reasons of the sort cited, and that their allegiance to JTB will withstand practically all evidence of the sort derived from usage. They would appear to believe that the question of the proper analysis of the meaning of a phi-losophical term is not to be decided, or at any rāte not merely to be decided, on the basis of common usage. By what is it then to be decided? The question is an interesting one, since having passed over the evidence of usage one wonders what other evidence could be relevant, unless it were "evidence" of a normative nature to the effect that purposes of some sort are served better by say, the JTB account, than any other. Then the question what knowledge is becomes a normative one ("what *should* we mean by 'knowledge'?") and the result is that the JTB theorist cannot, on JTB assumptions, know that "knowledge" means JTB!

If we allow ourselves to ask "what should 'knowledge' mean?", admitting the question's normative character whatever that may imply, we raise the question of what purposes the JTB theory is supposed to help satisfy, and whether or not it does so successfully. I have darkly suggested once or twice that all is not well with the JTB account. The term "foundationism" has been proposed for those epistemologies which are committed to the tenet that empirical knowledge has, and must have, a "foundation",

"the claim that certain empirical beliefs possess a degree of epistemic justification or warrant which does not depend, inferentially or otherwise, on the justification of other empirical beliefs, but is instead somehow immediate or intrinsic."[35]

If, as seems likely on the basis of recent discussion,[36] foundationist theories generically must fail, and if (for ultimately similar reasons) coherence theories also must prove unsatisfactory, what is left? James' own version of "the pragmatist theory of truth" is hardly satisfactory either, for James reads out the theory in detail as a foundationist view couched in even more mysterious terms than current analytic accounts.

The general problem that foundationist theories face is that of answering the challenge laid down, e.g., by C. I. Lewis when he points out that "if anything is to be probable, something must be certain."[37] Basic beliefs fail as epistemic warrants taken singly for the simple reason that *any* belief by itself requires justification if it is to have any claim to providing a warrant for other beliefs. But pure sense-reports, though possibly incorrigible, are so only if they are construed in such a way as to provide no warrant for anything. "I seem to see green", by itself, provides no evidence that what I see *is* green, nor would one hundred people saying "I seem to see green" do so either, unless we are already supposed to be in possession of some knowledge making it likely that in this case or cases seeming to see green, or saying "I seem to see green", makes "it is green" more probable. But what could be the basis for *that* knowledge? Lewis suggests it might be a "pragmatic *a priori*" born of common human concerns and encoded in meanings, "criteria in mind", with which we face and make sense of the battery of sense-stimuli. While it seems to me Lewis was looking in the right direction when he looks to common human concerns, his own efforts to explore value theory (in *The Analysis ofKnowledge and Valuation)* suffer because he is unable to find a way of formulating those human concerns in a way which keeps in touch with actual valuings and stili retains the *a priori* character which they must have in order for his account to work. Whatever the merits of Lewis' attempts, and it seems to me they have a good deal of merit, they have not found fashion among epistemologists in recent years.

What is the trend nowadays? Once one has decided to abandon empiricism with a foundationist or coherence base, one direction to go is with Nelson Goodman to a kind of high-level relativism. Since "truth… pertains solely to what is said",[38] and what is said determines versions or worlds but not The World, Goodman's conclusion is that worlds are made as much as found, and that there may not be any such thing as The World – or if there is, The World turns out to be self-inconsistent when any attempt to

characterize it is made. In either case, his conclusion seems to be that if there is such a thing as The World, Reality, we are unable to speak of it.

Goodman's remarkable review of the current epistemological situation contains the following passage, which is pertinent to the state to which the discussion of this paper has brought us. He writes:

"The thesis that true statements are those that enable us to predict or manage or defeat nature has no little appeal; but some conspicuous discrepancies between utility and truth have to be explained away. That utility unlike truth is a matter of degree can perhaps be dealt with by taking utility as measuring nearness to truth rather than as a critarion of truth itself. That utility unlike truth is relative to purpose might seem less serious when truth is recognized, as in the preceding pages, to be relative rather than absolute. But relativity to purpose does not align in any obvious way with relativity to world or version; for among alternative true versions or statements, some may be highly useful for many purposes, others for almost none and indeed much less useful than some falsehoods…"[39]

The suggestion in this paper is that Indian thought adopts a utility reading of "truth" and thus what "knowledge" consists in features this very relativity to purpose. What, then, distinguishes the resulting view from skepticism or a relativism with the "discrepancies" that Goodman points to?

Goodman's discussion, like Mohanty's, operates under the presupposition that "knowledge" is true belief and that "truth" has a fixed antecedent sense which allows us, e.g., to ask with Goodman whether truth need serve any purposes. That last question, notice, makes sense only if we suppose that "truth" means something to us other than "serving some purpose". But if, as I have just attempted to suggest, truth in Indian philosophv *is* the serving of purposes Goodman's discrepancies cannot be expressed there.

There is a hidden reason why Goodman's relativism will, as the jacket to *Ways of Worldmaking* suggests, "incur the wrath of the rationalist, the enmitv of the empiricist, and the malice of the modalist, as well as the antipathv of the absolutist". That hidden reason is that in the Western versions of all four of those views – rationalism, empiricism, modalism and absolutism – there is a shared admission, which is that any hierarchy of values is even more questionable than the realistic hypothesis of a single reality, The World. To trade in faith in the given, or consistency, or relativity, or an absolute synthesis of theses and antitheses in favor of a fixed hierarchy of values is beyond the bounds of reason for modern Western philosophy. Why? Because all these lines of thinking tacitly agree on what I have called "noncognitivism" in value-theory. And it is an unavoidable consequence of noncognitivism in value-theory that no fixed relations of supremacy or subordination between values can be

demonstrated, for the simple reason that according to noncognitivism no conclusions about values can be demonstrated at all.

But the situation in Indian philosophy is entirely different. Though disagreements among views about whether there is One World, many worlds or no worlds abound there, what is agreed on among all the systems is that the supreme human purpose is liberation, and that there is a fixed, though context-sensitive, value system which coheres with that highest purpose. There is little or no disagreement among Jains, Buddhists and the various Hindu philosophical *darśanas* about values. What is a virtue for one is so for another. The evaluation of stages of progress toward liberation, it is agreed by all, involves overcoming ignorance and attachment. No doubt different philosophers develop their special terminology and emphases, but, as Western students puzzled over what is at issue between, say, the path-philosophies of Advaita, Buddhism and Yoga well know, the agreements far outweigh the differences as long as we conflne ourselves to the evaluation of activities designed to lead to ultimate value. Where differences in value theory appear to arise it is customary for the Indians themselves to explain that this ap-pearance only reflects the context-dependent differences in advice which a sensitive guru will give to pupils at different stages along the way.

By contrast, in Western contemporary thought not only is there lack of agreement as to ultimate purpose and the subsidiary goals leading to it, there is even general admission that we can't even address the question rationally, it being a matter of taste and "de gustibus non est disputandum". This is a radical divergence between the contemporary Western situation in philosophy and classical Indian thought; for that matter, there is the same divergence between modern and classical Western philosophy. The JTB account of knowledge is perhaps doomed as a futile attempt to provide a foundation in the absence of normative convictions which would constitute the proper, but now abandoned, core meaning of "knowing". Modern epistemology, getting the wrong message from Plato, perhaps, hoped that that core normativeness could be found in the necessities of formai (mathematical, logical) "truth", that is in consistency or coherence. We are now discovering that that is a forlorn hope, that inquiry is adrift without a recognition at least of the worth of what the inquiry is *for*.

The lost, core meaning of "I know" relates to my awareness that my actions are proceeding satisfactorily or unsatisfactorily toward an intended

outcome. "I know what I am trying to do", "I know what I want" are expressions which provide examples of this core meaning. Notice that *what* I know, in these locutions, is an action or volition. As soon as we try to *describe* what it is that I want or am trying to do, doubts may set in. "Are you really trying to do *that*?" is a fair question, suggestion one may not be clear about what his purposes are or ought to be. Knowing that *p* is likewise subject to doubt in the same way, and so no knowledge – *that* can possibly provide the certainty which will ground probability and answer Lewis' challenge. My knowing *what* I am trying to do, on the other hand, is like knowing some thing "by acquaintance" – I have a certainty about what I want which is unlike my certainty that 2 + 2 = 4 but is akin to the alleged certainty about sense-data postulated by phenomenalists. The difference between sense-datum reports andreports of wants and actions is that, whereas sense-datum reports, though perhaps indubitable, cannot ultimately provide the certainty to ground empirical claims, since they are themselves not claims, reports about what one intends or wants are both claims (*pace* the noncognitivist) and indubitable. One might grant this and stili flnd such value-reports irrelevant to the problem of justifving what are allegedly value-free claims of scientific knowledge. This is noncognitivism resurfacing at a deeper Ievel. I cannot here hope to set the noncognitivist challenge to rest, nor is it the purpose of this paper to do so. What this paper is arguing is that Indian philosophy, not being wedded to a noncognitivist approach, thinks it can talk of knowledge (or rather, *ofprama)*, but in a sense of "knowledge" different from the current notions predicated on noncognitivism.

The incommensurability thesis is incorrect, then, as an interpretation of Indian theories of knowledge, because there is agreement there about ultimate values, so that construing "prāmāṇya" as workableness does not produce a stultifying relativism or skepticism. To the extent that such agreement is absent from Western philosophical thinking, to turn the coin over, it is to that extent inevitable that there can be no meeting of minds between East and West. One lesson to be learned is that, in analyzing the views of other cultures one must be careful not to import theses held by one's own culture but not by theirs. A deeper message is this: that there may be no middle ground between commitment to absolute values on the one hand and epistemological skepticism on the other. Mathematics does not provide that middle ground. Can holistic conceptions, unguided by flxed

normative concerns arising from human purposes to be served hope to justify knowledge claims?

Contemporary Western thought is going through a phase of practicality; there is a call for relevance. Relevance to what? Surely, to concerns viewed as so widespread and pressing as to far outweigh the doubts of the epistemological skeptic. These concerns, and the widespread recognition of them, suggest that there is more thoughtful agreement on a hierarchy of values than the noncognitive assumptions of positivist value theory can make sense of. If so, and if the ultimate concerns of human beings do indeed, when carefully studied and compared, transcend the apparent idiosyncracies of cultures, then the incommensurability of thinking between East and West may turn out to be a goblin of our own making, the shortcoming of a phase in Western thought which, whatever its positive contribution has been, is proving too rigorous for our good in its conceptions of knowledge, truth, and what makes life worth living, or dying, or ultimately leaving for good.

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NOTES

* The three papers that follow, by Kari H. Potter, Jiterdranath Mohanty, and Kisor Kumar Chakraborty, were presented in a panei at the meetings of the Society for Asian and Comparative Philosophy in San Francisco, March 1983.

[1] Jitendranath Mohanty, *Gaṅgeśa's Theory of Truth* (Visvabharati, Santiniketan: Centre of Advance Study in Philosophy, 1966), hereafter GTT.

[2] GTT, p. 78.

[3] GTT, p. 76.

[4] GTT, p. 78.

[5] GTT, p. 75.

[6] GTT, p. 79.

[7] Kari H. Potter, 'toward a Conceptual Scheme for Indian Epistemologies', in J. N. Mohanty and S. P. Banerjee (ed.), *Self, Knowledge and Freedom, Essaysfor Kalidas Bhattacharyya* (Calcutta: World Press, 1978), pp. 17–30.

[8] GTT, p. 79.

[9] GTT, p. 21.

[10] GTT, p. 27.

[11] GTT, p. 28.

[12] GTT, p. 27.

[13] Sometimes "jñāna" is used to mean "(pure) consciousness". This is a different use of the term from the one studied here.

[14] Mohanty (GTT, p. 25) argues that a "jñāna is not an activity, but a product" (citing Javanta Bhatta) "to call it an activity would, firstly, amount to an unusual extension of the ordinary notion of act, involving the notion of movement (*spandana*); but secondly, it is not admitted by the definitions underlying the Nyāya ontology". But when I call a *jñāna* an act I do not mean that it is a motion, nor I suppose do (e.g.) all those Indian philosophers who classify acts (*karman, kriyā*) into three kinds of which one is "mental act" think that the mind moves. And while Jayanta is correct that a *jñāna* is not a member of the third Vaisesika category (of *kriyā*) and is a result (*phala*), I don't see that this makes calling a *jñāna* an act an unusual extension of the English term "act" or "activity", since surely we do speak of, say, calculation as a kind of mental activity.

[15] GTT, p. 77.

[16] My translation of the passage appearing on p. 111 of GTT: "Tathāpi tadvati tatprakārakajñānatvaṃ tadvati tadvaiśiṣṭyajñānatvam vā prāmāṇyam".

[17] Continuation of the preceding passage: "tanniścayād eva niskampavyavahārāt lāghavāt". Ibid.

[18] "Avisamvādakam jñānarṇ samyagjñānam. Loke ca pūrvam upadarśitam artham prāpayan samvādaka ucyate…. Pradarsite cārthe pravārtakatvameva prāpakatvam. Nānyāt. Tathā hi na jñānaṃ janayadartham prāpayati. Api tvarthe puruṣaṃ pravārtayat prāpayatyartham. Pravārtakatvamapi pravṛttiviṣayapradarśakatvameva." *The Nyāyabindutīkā of Dharmottara Āchārya to which is added the Nyāyabindu* (ed. P. Peterson) (Re-issue, Calcutta 1929), p. 3. My translation.

[19] E.g., Digṇāga and Dharmakīrti use this term in defining perception. See ibid., p. 103, third sentence of the text.

[20] GTT, p. 6.

[21] *Ibid*

[22] GTT, pp 8–11, where the specific opinions of several individual Bhātta writers are discriminated.

[23] GTT, p. 12.

[24] GTT, p. 14, note 34.

[25] Mohanty renders the expression "arthaparicchedasāmarthya", differently than I do, taking "artha" as meaning "object" here and elsewhere.

[26] GTT, p. 42 et passim.

[27] GTT, p. 15.

[28] *Ibid*.

[29] GTT, p. 76.

[30] In the Prābhākara and Bhātta versions of the *svataḥ* theorv we do not become aware of the *prāmānya* of J_1 through an aftercognition, but rather, in the case of Prābhākara, J_1 itself vouchsafes its own *prāmāṇya* and for the Bhātta, we draw an inference from the knownness *(jñātatā)* which characterizes the content as a result of our cognizing it.

[31] I choose "workable" rather than, say, "working" for reasons familiar both from James' writings and from Dharmakīrti's recognition that so as not to exclude nonspeakers from cognition conceptual

construction must be defined in terms of "capabilitv of coalescing with a verbal designation" (*abhilāpasarṇsārgayogyapratibhāsāpratītih kalpanā*…), Peterson edition of Dharmakīrti, op. cit., p. 103, fourth sentence of text, and Th. Stcherbatskv's translation of it in *Buddhist* Logic, Vol. II (Dover: New York, 1962), p. 19.

[32] GTT, p. 21.

[33] J. L. Austin, "Other minds" in *Philosophical Papers* (2d edition: Oxford University Press; Oxford, 1970), p. 98.

[34] Zeno Vendler, *Res Cogitans* (Cornell University Press: Ithaca, N.Y., 1972).

[35] See Laurence Bonjour, "Can empirical knowledge have a foundation?", American Philosophical Quarterly 15, 1978, 1–13.

[36] See, e.g., Bonjour's paper, ibid.

[37] C. I. Lewis, *An Analysis ofKnowledge and Valuation* (Open Court: Lasalle, 111, 1946), p. 186.

[38] Cf. Nelson Goodman, *Ways of Worldmaking* (Hackett: Indianapolis, 1978), p. 18.

[39] Bidi., p. 123.

Knowing that one knows

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1. RIVAL THEORIES ABOUT KNOWLEDGE OF KNOWLEDGE

Writing in 1962, Jakko Hintikka argued that '*a* knows that *p*' always implies '*a* knows that *a* knows that *p*'. Some contemporary philosophers agreed while others (such as, Arthur C. Danto) disagreed. The issue, however, has not been much discussed in contemporary analytical philosophy, while in the classical Sanskrit tradition of India it generated a vortex of controversy. It had various ramifications which were discussed by philosophers of very different persuasions. It was believed that the issue strikes deep into the heart of the philosophic opposition between realism and idealism, materialism and mentalism. In other words, it became a very central concern among philosophers who flourished between A.D. 500 and A.D. 1200 in India. In what follows I shall not discuss whether this concern was justified or not, but try to present the argument of the ancients about the main issue in its richness and diversity. Towards the end, I shall argue why Hintikka's view cannot be accepted and why the opposite view of Nyāya fares better.

To appreciate fully the intricacies of the problem one needs to discuss the background to some extent. The arguments of the ancients are admittedly arduous, if not a bit daunting. But I am convinced that they are worth the effort. For they certainly deepen our understanding. The classical Indian philosophers assumed an 'episodic' view of knowledge, and their discussion centres around this concept. Therefore, knowledge in what follows would be regarded as a knowing event, an 'inner' episode, and an awareness as an awareness-event.

In claiming that knowing is an 'inner' episode classifiable with other similar episodes, we do not and need not claim that knowing consists in being in a special (infallible) state of mind. For if such a state of mind means that

we possess some 'inner search-light' (Ayer) which guarantees absolutely the truth of the experience or the reality of the object upon which it is directed, then it will be, as Ayer has pointed out, patently wrong.[1] I am not taking issue here with the Phenomenologist (for this is at best a caricature of E. Husserl), but I wish to reject the hypothetical position that may endorse the 'inner searchlight' theory. It is generally agreed that if something is known, it must be true or it must exist. Nyāya says that this fact does not warrant us to say that if one knows, then necessarily one knows that one knows; and this holds even when one is quite convinced about what one knows. One may, in fact, be absolutely sure about what one cognizes, but such a certainty neither contributes to knowledge nor becomes an essential ingredient of it.

Nyāya conceives the matter roughly as follows. A verbalizable cognitive episode can be either a knowing episode or a 'non-knowing' episode, such as an illusion or a doubt. It is a knowing episode when it hits the 'truth'. Knowledge-ness consists in its truth-hitting character, and not in its indubitability or in its constructive character. When it misses truth it is a 'non-knowing' awareness-episode. Even an archer cannot always hit the bull's eye. Nyāya fallibilism says that if it is possible for him to hit it, it is also possible for him to miss it. If he hits it, it is not by being absolutely sure that he does so. There are other causal factors that are responsible for making the incident a successful one. It may be true that the archer hits the mark *mostly* when he is absolutely sure, and similarly a man may feel absolutely sure when he knows. But the point is that the fact of hitting the mark or missing it is independent of the presence or absence of such certainty.

Let us try to formulate different theses of rival (classical Indian) philosophers in clearer terms. Let 'c_1', 'c_2'…stand for individual cognitive events or awarenesses. When I am aware that p, a cognitive event arises. I may be truly aware that p or it may be that I am falsely aware that p (if p is not the case). Let us say that I *know* that p if an only if I am truly aware that p. I may be aware that p but do not know that p, in which case I oscillate between *that p* and *that not p*. Let us say that I have a doubt (*saṃśaya*) if and only if I am dubiously aware that p in the above manner. A knowing event is a special kind of cognitive event (or awareness-event), for I have to be *truly* aware. Let us say that a cognitive event is a knowing event if and only if it has (acquired) a specific feature, k; it is an illusion or a doubt if and only if it has a different specific feature, d. (To avoid complexities, let us for the moment ignore other types of cognitive events, e.g. remembering, intuition and dreaming, although they are found in the list of Praśastapāda.) If we

accept this convention, then 'c_1+k_1', 'c_2+k_2'…will stand for individual knowing events, and likewise 'c_1+d_1', 'c_2+d_2'…for individual illusions or doubts.

I would like to introduce at this stage a transitive verb 'caps' which should go between the name of a cognitive event and that of its object (where the object may be either a simple thing, *a*, or a complex entity having a propositional structure, *that p*.) For example, if I am aware of the cat called Pussy, the cognitive event 'caps' Pussy. If, however, I am aware that Pussy is on the mat, then the event 'caps' *that* Pussy is on the mat. We may now formulate the following positions of rival Indian philosophers:

T_1:   If c_1 arises, it caps not only *a*, or *that p*, but also c_1 itself by the same token.

T_2:   If c_1 arises, it caps only *that p* (or *a*), and then c_2 arises to cap c_1 ($c_1 \neq c_2$).

The Prābhākara Mīmāṃsaka and the Buddhist of the Diṅnāga school accept T_1 (The Advaitins also accept it but understand it in a different way which we will forbear to go into here.) The Prābhākara calls it 'the self-revelation theory of awareness' (*sva-prakāśd-vāda*), while the Buddhist calls it 'the selfawareness of awareness' (*sva-samvedana-vāda*),

According to the Prābhākara school, there is also a third party, the knowing self, which is also revealed besides the object and the cognition itself. The prevailing view (Śālikanātha's) is that each cognitive event is a sort of perceptual event revealing the trio, the object grasped, the fact of grasping (i.e. the cognition) and the knower self (cf. *tri-puṭi-pratyakṣatd-vāda*). Hence according to this view, knowledge that this is a cat is always verbalizable as 'I know that this is a cat', which makes explicit reference to the trio 'capped' by the event (the first two words referring to the last two members of the trio, and the *that* clause to the first). An older view belonging to the same school is, however, formulated in a slightly different way. It says that it is counter-intuitive to say that event c_1 'caps' anything else beyond its object (*a* or *that p*). Instead both the cognition itself and the knowing self are such that they become, unlike the object 'capped' by c_1, the subject matter of *vyavyahāra* (i.e. become publicly discussable objects, etc.) solely by virtue of event c_1 itself. In other words, I can talk about the cat Pussy when and only when I

have had an awareness of it (i.e. my c_1 has 'capped' it) and this is true of any other object I may be aware of, but this does not mean that I have to be aware of c_1 or the knowing self in order to talk about them. The last two can be talked about (cf. *vyavahāra*) provided only c_1 has arisen, it is not necessary for c_1 also to 'cap' them. In the light of this ancient view of the Prābhākara school, T_1 has to be modified as: if c_1 arises, then just as the object 'capped' by c_1 is usable for *vyavahāra*, c_1 should also thereby be usable for *vyavahāra* (i.e. fit for public discussion, for being talked about for being remembered, etc.), even when c_1 is not aware of itself. Śālikanātha, however, prefers the unmodified T_1.[2]

In Buddhism, however, there is no third party besides the cognition and what it grasps as the object. T_1 needs no modification for the Buddhist. Each awareness is also a case of self-awareness. Here c_1 caps the particular object as well as c_1 itself. Just as an occurrence of pain arises and makes itself known by a single stroke, a cognitive event arises and makes itself known at the same instant. Each event of the cognitive kind has as its integral part an 'inner' (mental) perception of the event itself. This reflexivity of awareness is unavoidable for, the Buddhist argues, one cannot remember what one did not know; and since we do remember that we *knew* whatever we knew or were aware of, we must have known that we knew or were aware that p (see next section).

Both the Buddhist and the Prābhākara seem to agree on another point: if c_1 arises it is necessarily cognized. This leads to another pair of disputed positions:

T_3: If c_1 arises, c_1 is necessarily cognized (known).

T_4: If c_1 arises, it is only possible that c_1 is also cognized, i.e. it is possible for some c_1 to come into and go out of existence, without being cognized at all.

T_1 implies T_3, and hence both the Buddhist and the Prābhākara Mīmāṃsaka will have to accept T_3. T_2 under some interpretation may be compatible with T_3 and hence the two can be combined to say that if c_1 arises, c_2 must arise.

This presumably gives the view of the other two Mīmāṃsakas, the Bhāṭṭa and the Miśra (the followers of Murāri Miśra). In this case c_2 can be an 'inner' perception (cf. *anuvyavasāya*), but in any case it would be an occurrence distinct from c_1. Or as the Bhāṭṭa would say, c_2 may be an *automatic* inference when c_1 has arisen.[3] (It may be doubtful whether the Bhāṭṭa would stick to this position in the final analysis, but I will not enter into that problem here).

T_4 is rather a controversial thesis, for it may be claimed to be counterintuitive. But Nyāya boldly accepts T_4 along with T_2. This means, in short, that c_2 may or may not arise even if c_1 has undoubtedly arisen. T_1 and T_3 jointly say that if Iam aware that p, I am necessarily aware that I am aware that p. T_2 and T_4 on the other hand, say that if somebody, S, is aware that p, it does not necessarily follow that S is aware that he is aware that p.

The above positions have been formulated in terms of *cognitive* events in general. What would be the view about the *knowing* events in particular? There are two different issues involved here. The first concerns the origin (*utpatti*) of the knowing events, while the second is about the knowledge of a knowing event, i.e. knowledge of the event as a piece of knowledge. As regards the former, we can formulate again two rival positions:

T_5: Whatever causes c_1 to arise causes, by the same token, $(c_1 + k_1)$ to arise.

T_6: Since $(c_1 + k_1$ is a special case of c_1, for such an event to arise some additional condition, G, is needed over and above H which causes c_1.

Regarding the knowing of an awareness-event, the following rival positions can be formulated:

T_7: Whatever causes the knowing of c_1 causes, by the same token, the knowing of $(c_1 + k_1)$.

T_8: Whatever causes the knowing of c_1 cannot cause the knowing of $(c_1 + k\pm)$ by the same token; some additional condition is needed to make $(c_1 + k_1)$ known.

There seems to be a natural connection between T_5 and T_7 as well as between T_6 and T_8. All the Mīmāṃsakas (i.e. Prābhākara, Bhāṭṭa and Miśra) accept the former pair. Nyāya accepts the latter. The Mīmāṃsakas argue that a cognitive event arises under *normal* conditions as a knowing event until and unless some 'bad' factors intervene to upset normalcy. When 'bad' factors intervene, a defective cognitive event (a misperception or a dubious awareness, $c_1 + d_1$) arises. Therefore, according to this view, the totality of causal factors generating c_1 needs the intervention of additional *bad* factors (cf. *doṣa*) to generate $(c_1 + d_1)$. This is similar to saying that mangoes are *naturally* sweet or man is *naturally* good but that intervention of *bad* factors in the *normal* circumstances can make it possible to produce non-sweet (sour) mangoes; similarly, *bad* extraneous circumstances can make a man bad.

Nyāya, on the other hand, holds the opposite view. Instead of talking about 'normal' circumstances for generating a cognitive event, Nyāya (cf., Gaṅgeśa) talks about a set of *general* causal conditions along with a set of *specific* causal factors in each case of a cognitive event. If and when c_1 arises, it would be either $(c_1 + k_1)$ or $(c_1 + d_1)$, just as when a mango grows it is either sweet or not so. Therefore, the set of general causal factors for generating c_1 must always be attended with either a set of goo d factors in order to generate $(c_1 + k_1)$ or a set of bad factors to generate $(c_1 + d)_1$.

Let us note that T_2 can be combined with T_5 and T_7 to yield the view of the Bhāṭṭa and Miśra. For saying that c_2 'caps' c_1 is compatible with saying that whatever generates c_1 generates by the same token, $(c_1 + k_1)$. Further, even if we need c_2 to 'cap' c_1 (for c_1 cannot reflexively 'cap' c_1), we might still claim that whatever generates the knowing of c_1 generates also the knowing of it as $(c_1 + k_1)$. Notice that the difference between knowing c_1 and knowing $(c_1 + k_1)$ is similar to that between knowing that it is a mango and knowing that it is a sweet mango. The Mīmāipsakas would say that knowing c_1 is like tasting a mango; and hence if you have tasted it, you have tasted it as sweet. Nyāya, on the other hand, could argue that knowing c_1 may be like seeing a mango, and hence when you see it you cannot know that it is sweet and you need a different means (that of tasting) in order to know that it is sweet.

There is a further complication when we ask about the knowledge of a defective cognitive event, i.e. knowing of $(c_1 + d_1)$. Corresponding to T_7 and

T_8, we can formulate:

T_9: Whatever causes the knowing of c_1 causes by the same token the knowing of $(c_1 + d_1)$.

T_{10}: For the knowing of $(c_1 + d_1)$ to arise, some extraneous condition is needed for whatever causes the knowing of c_1 to arise cannot be sufficient to cause the knowing of $(c_1 \pm d_1)$ to arise.

Four possible combinations of T_7, T_8, T_9 and T_{10} yield, according to the post-Gangeśa writers, four well-known positions. T_7 ken together T_7 and T_9 give the SāŁkhya view, T_9 and T_{10} the Bhāṭṭa view. T_8 and T_9 yield supposedly the Buddhist position, while T_8 and T_{10} give clearly the Nyāya position.[4]

Roughly stated, the SāŁkhya says that when I know that I am aware that p, I also know by the same token that I am aware, truly or falsely as the case may be, that p.[5]

The Bhāṭṭa says that when I know that I am aware that p, I also know by the same token I am *truly* aware (i.e. know) that p. However, if I am falsely aware (misperceive or misjudge) that p, I would have to depend upon some extraneous condition in order to know that I am *falsely* aware that p. For example, if I misperceive something as a tree-trunk, some other evidence will tell me that I have misperceived; my knowledge of the awareness itself will be of no help. This view may be endorsed by other Mīmāṃsakas.

The Buddhist (supposedly) says that even if I know that I am aware that, p, I would not know by the same token that I am *truly* aware that p. I would need an extraneous condition to know that I know, i.e. be truly aware, that p. Thus Dharmakirti insisted upon successful activity as evidence of our knowing that I had a piece of knowledge of the fact with regard to which our activity has been successful.[6] Butif Iamfalsely awareof something, my knowledge of this awareness would be sufficient for my knowing that this is a false awareness. It is difficult to find support for this latter half of the thesis in the available Buddhist texts. Probably this is a reformulation (by the Naiyāyikas) of the Buddhist viewpoint according to which all constructive judgements (cf. *vikalpa*) are by definition false, and this would be known as soon as their constructional character is known. According to Buddhism, a construction with the help of concepts is always propelled by our desires and

drives for pleasure, etc. and hence by definition it represents a distortion of the reality. We *construe* as we would like, or ardently desire, to see reality, not as reality actually is!

Nyāya says that when I know that I am aware that *p*, I do not know whether I am truly aware or falsely aware. I have to depend upon some extraneous condition in order to know that I know, i.e. am truly aware. I need extraneous condition even to know that I am falsdy aware.

All the positions mentioned above were supported by some argument or other. I will not go into those arguments here. In view of my general purpose I shall try to develop first, the Buddhist view of self-awareness, then the Nyāya position, in order to see whether the sceptics can in any way be answered from the point of view of these philosophical positions.

2. SELF-AWARENESS

If I am aware that *p*, then it is generally assumed that I am also aware that I am aware that *p*. This general pre-theoretical assumption seems to gloss over several philosophical issues which the classical Indian philosophers thought relevant and important as I have already indicated in the previous section. The assumption implies that although what we are aware of or what we cognize is, by and large, an object, an external object, a non-mental, physical object, we can also be aware of the mental events happening 'inside'. We can be aware of an awareness itself. The traditional 'subject' can become also the 'object'. An apprehension itself is also apprehensible (*grāhya*).

A simple argument can be given to show that we must be cognizing our 'cognitions' too along with the 'objects'. We cannot remember what we have never cognitively experienced. How do we remember not only what we have cognitively experienced but very often also that we have cognitively experienced them? Therefore, it is reasonable to assume that we must have been cognitively aware that we experienced whatever we had cognitively experienced. Now the question arises: how and when do we become aware of our own awareness?

There are usually three views on this matter in classical Indian philosophy. First, a cognitive event is self-cognizant. That is, an awareness may be reflexively aware of itself. Second, it may be cognized by another cognitive event, by what has sometimes been called introspection 'inward' perception (cf. *anuvyavasāya*)—an event that *immediately* follows the first event. Third,

I may be reflectively aware, i.e. infer that I must have been aware of such and such things on the evidence that such and such things appear as known to me (cf. *jñātatāliṅ;gakānumāna*). Of these three, let us take a close look at the Buddhist version of the first position: c_1 reflexively 'caps' itself.

After defining perception as a cognitive event which is entirely free from conception or imaginative construction (*kalpanā*), i.e. unassociated with names and concepts, Diṅnāga asserted that this essential character of a perceptual awareness would be applicable even to what we may call 'mental' or 'inner' perception of two kinds.[7] One kind of 'inner' perception presumably cognizes the material form (*rūpa*), i.e. the external object, while the other kind cognizes desire, anger, ignorance, pleasure, pain, etc. Diṅnāga's own passage is enigmatic here and I have followed Hattori, who followed Dharmakīrti in interpreting this passage. Diṅnāga's cryptic statement here created a great deal of exegetical confusion among the later commentators. Recently M. Nagatomi has called it '*a* conundrum in the Buddhist Pramāṇa system'. He tried to resolve the issue as follows.[8]

The problem lies to be sure with the above-mentioned first variety of 'mental' perception. The second variety is more or less recognizable as a variety of perception (in the sense defined) and generally accepted by the commentators without question. It is called *sva-samvedana* 'self-awareness', i.e. the self-luminous character of all mental events, beginning from human passion to the Buddha's compassion. All these events make their presence known (as soon as they arise) without requiring a further event. But what could be the possible case of the first variety? How can an external object, such as colour, be 'capped' by a mental perception and be at the same time, as the requirement demands, non-conceptual or unconceptualizable? Some commentators believe that Diṅnāga had to talk about a 'mental' perception which is on par with the five kinds of sense perception in order to be faithful to the tradition of the Buddhist scriptures! The Buddha mentioned a variety called *mano-vijñāna,* side by side with the other five types of sensory awareness. Mokṣākaragupta quoted a saying of the Buddha which reads as follows: 'Colour-form is cognized, oh monks, by twofold cognition, the visual perception and mental perception induced by it.' The saying was quoted by Mokṣākaragupta in order to justify his contention that although the mental perception of colour, etc. is not commonly experienced by ordinary people,,it might well have been the case with the Buddha's experience.[9]

Nagatomi argues that Diṅnāga in the passage referred to did not talk about *two* types of mental perception but only about one type with a twofold aspect. If this means that the event called mental perception is identical with the selfawareness part of each mental event, then I readily accept the interpretation. Dharmakīrti explicitly stated in the *Nyāyabindu* that all mental events (*citta* = a cognitive event as well as *caitta* = derivatives of the cognitive event, pleasure, etc.) are self-cognizant.[10] It is possible that Diṅnāga only referred to the twofold appearance of the self-cognitive part of the event: the object-appearance (that aspect of a mental occurrence which makes an intentional reference) and the appearance of the cognition itself (the cognizing aspect). Since pleasure, pain, passion, anger, etc.—all such mental events are also cognitive in character according to the standard Buddhist view and by the same token self-cognitive, Diṅnāga might well have intended to emphasize the double feature that self-awareness of such events captures: the object-aspect as well as their 'own' aspect.

Each mental event in this theory has a perceptual character and this includes any cognitive event, sensory perception, inference, conceptual judgement, etc. It is in each case their self-awareness. Self-awareness is a kind of perception because it is a mental awareness that is free entirely from conception and construction. It forces itself into a non-mediated (non-conceptual) grasp of itself. It is called 'mental' or 'inner' because the external sense-faculties are not directly responsible for such a non-mediated grasp of itself (cf. Diṅnāga: *indriyānapekṣatvāt*). Suppose I now close my eyes and think of my beloved. My thoughts will be invariably attended with passion, etc. (the *caitta*). This particular mental event is certainly not free from conceptual construction for only an *idea*, a concept, of my beloved, and not she herself, is grasped by my awareness. But my awareness itself as well as my passion or other emotive experience is self-aware. Thus self-awareness of any mental event is conception-free and hence a 'perception', *a la* Diṅnāga. He says: 'Even conception (or conceptual judgement) is admitted to be (a sort of perception) as far as its self-awareness is concerned. It is not (a perception) with regard to its object because it indulges in conceptualization.'[11]

Diṅnāga repeatedly insists in the first chapter of his *Pramāṣa-samuccaya* upon the dual aspect of each cognitive event: the object-aspect and the cognizing aspect (*arthābhāsa* and *svābhāsa*), more commonly known in the Yogacāra system as the apprehensible-form (*grāhyākāra*) and the apprehensionform (*grāhakākāra*). Later on his *arthābhāsa* transpired as *arthākāra*, the 'object-forn' of the cognition, in the wiritings of the post-

Diṅnāga exponents and hence the nickname *sākāra-vadin* (*sākāra* = 'awareness with an object-form') was given to this school. If the object-appearances ('blue', 'yellow', 'hard', 'round', etc.) are inherently distinguishing marks for particular cognitive events, then the claim (of the Sautrāntika) that external objects are causally responsible for the arising of the object-appearances or object-LIKENESS (*sārŋpya*) seems to dwindle. This position became very suitable for the Yogācāra school to which Diṅnāga belonged. For instead of saying with the old Yogacarins that the external objects do not exist, for nothing but consciousness (awareness) exists, one can now say along with the exponents of the Diṅnāga school that in this theory of awareness and mental phenomena in general references to external objects are dispensable.

Diṅnāga advanced some arguments to show that an awareness has always a twofold appearance and later added that even self-awareness of an awareness is proven thereby. Thus it has been said (I follow Hattori's translation):

> The cognition that cognizes the object, a thing of color, etc. has (a twofold appearance, namely,) the appearance of the object and the appearance of itself (as subject). But the cognition which cognizes this cognition of the object has (on the one hand) the appearance of that cognition which is in conformity with the object and (on the other hand) the appearance of itself. Otherwise, if the cognition of the object had only the form of the object, or if it had only the form of itself, then the cognition of cognition would be indistinguishable from the cognition of the object.[12]

To explain: let c_1 stand for a cognitive event which can be described as my awareness of blue. We can distinguish between its two aspects, the blue-aspect and the cognition aspect, of which the latter grasps the former; if the same event has also self-awareness, then this 'self-awareness' aspect is to be distinguished from the cognition-aspect in that the self-awareness aspect picks out the cognition-aspect as distinguished by the blue-aspect while the cognitionaspect picks out the blue-aspect only. Now if instead of the dual aspect, my awareness had only one aspect, either the blue-aspect or the cognition-aspect, then the awareness of the awareness, the self-awareness, would be indistinguishable from the awareness itself. How? Suppose the cognition has only the blue aspect to qualify it. We would then have an awareness taking the blueaspect for its object and another awareness, i.e. self-awareness, also taking the blue-aspect for its object. This will collapse the

distinction between awareness and self-awareness. If, on the other hand, the cognition has only the cognizing aspect (no object-aspect), then also the distinction between awareness and self-awareness will collapse. For both will be marked by the same cognizing aspect.[13]

Further, it is argued by Diṅnāga, there is another fact that can be happily explained under the assumption of the dual aspect of a cognitive event. Sometimes an object cognized by a preceding cognition appears in a succeeding cognition. But this would seem impossible since the objects are, according to the Sautrāntika Buddhists, in perpetual flux and, therefore, the object ceases to exist when the succeeding cognition arises. But admission of the dual aspect saves the situation here. For we can say that at moment t_1 there arises a cognitive event, c_1 which grasps the blue, b_1 as its object (presumably b_1 being there at t_0,) and at t_2, c_2 arises and grasps not b_1 but c_1 as an event which has the dual appearance. This will show that c_2 grasps 'the b_1 -appearance' of c_1 which is part of its dual appearance (it does not grasp b_1 directly). For b_1 being in a state of flux cannot be present at t_2. This argument provides an explanation of the common-sense belief that an object grasped in a cognition can be grasped by several succeeding cognitive events, but it is not clear whether it accomplishes anything else.

Diṅnāga gives next his major argument. Our recollection is not only of the object previously cognized but also of the previous cognition itself. This proves not only that a cognitive event has a dual aspect but also that it is self-cognized. For 'it is unheard of', says Diṅnāga, 'to have recollection of someting without having an experience of (it before)' If, as the Naiyāyika claims, a cognition is cognized by a separate cognitive event, then, says Diṅnāga, an infinite regression would result and there would be no movement of thought (cognition) from one object to another.[14]

Śāntarakṣita gave another argument in favour of self-awareness. An awareness cannot depend upon another awareness in order to make its presence known, nor could its presence remain unknown. Therefore self-awareness must be the natural trait of any awareness.

The usual objection against the 'self-awareness' nature of a cognitive event was well answered by Dharmakirti and Śāmtarakṣita. It may be said that even a very well-trained dancer cannot climb up his or her own shoulder, and even the sharpest sword would not cut its own blade. Hence how can a cognition cognize itself? As against this, it is pointed out that a lamp or light illuminates itself. In other words, the act-agent relationship need not always

follow the model of a wood-cutter and a tree. It could illustrate the relation of the determinant and the determinable (cf. *vyavasthāpya-vyavasthāpaka*). Besides, to say that a cognition is self-cognizant is simply to say that a cognition is a nonmaterial entity (*ajaḍa*), very much unlike a material object. Self-awareness is what constitutes the *essence* of the mental events, (events such as an awareness, and any attendant emotive facts such as passion and anger).

It is held that cognitive event is actually a partless whole (cf. *niraṃśa*). The so-called division of it into aspects or features or appearances is only imagined. Hence it is only a provisional division. Thus for Śāmtarakṣita:

> The self-awareness of the awareness need not be analysed into the (model of) the action and the agent (and the object), for it is a single unity without parts, and hence cannot be divided into the three parts (the cognizer^the agent, the cognition the action, and the cognizable the object).

In sum, it is climed that self-awareness of an awareness is experiential. An echo of this claim is found in Dharmakirti's often quoted line from the *Pramanaviniścaya*: 'If an awareness itself is not perceived, the awareness of the object would never be possible.'[16] It is, however, not absolutely clear whether experience could positively establish also the *reflexivity* of awareness. For it is possible to be *reflectively* aware of another awareness. This brings us to the second and the third alternatives preferred by the Nyāya and the Bhāṭṭa respectively.

3. MUST I BE AWARE THAT I AM AWARE?

We have now to work with the idea that one is *reflectively* aware of one's own awareness. Awareness does not have self-awareness (i.e. awareness is not, among other things, *reflexive*). One may be *reflectively* aware of one's own awareness that something is the case in either of the two ways: by an inference or by an *inward* perception arising in the next moment. In fact, both may be designated as 'reflection' (in the Lockeian sense?) or 'introspection'. Locke, in fact, defined Reflection as 'that notice which the mind takes of its own operations, and the marriage of them, by reason whereof there came to be ideas of these operations in the understanding'.[17] This notion of 'reflection' seems to be closer to that of the *inward* perception (although not

that of the Buddhist 'self-awareness') than that of an automatic inference. It is not very clear whether Locke was aware of the distinction that we are talking about here. Besides, Locke identified Reflection as one of the two sources of knowledge (the other being Sensation) and there are many other problems involved here. For all these reasons, I would avoid translating *anuvyavasāya* (which is said to perceive *inwardly* the immediately preceding cognitive event) as 'reflection' or 'reflective awareness' (as some modern exponents of Nyāya have done). For almost the same reason, I would avoid using 'introspection' in this context. 'Introspection' is sometimes regarded as a modern version of the old 'reflection'. It has also been given a much broader function to perform in psychology. For William James, introspective observation is the principal method of psychology. In fact for all we know, both these terms may be very intimately connected with the notion of an *inward* perception or an *automatic* inference. However, it seems to me, 'introspection' generally stands for a set of different, sequential, but not often homogenous, mental episodes which are cognitive in character. In fact, a number of *inward* perceptions or *inferences* may be members of this set. Thus, to keep in our mind the episodic nature and singularity of the 'inward' perception (*anuvyavasāya*) as well as that of the automatic inference (*anumāna*) of the awareness episode, I would not use the term 'introspection' here. For *anuvyavasāya* I shall use 'inward perceptual determination' (sometimes *inward* perception), for *sva-samvedana* 'self-awareness' or 'inner perception' and I would let the distinction between them (that the former occurs in the immediately succeeding moment while the latter is an integral part of each awareness-event) be understood from the context.

We still operate here on the general assumption that if there arises an awareness, there arises also an awareness of the awareness, though not simultaneously. Hence we have still not gone against the commonsense notion that it is impossible for one to be aware of something without being aware that one is aware. Transition to the Nyāya view will take us beyond this position. For we will then say that it is *not* impossible for somebody to be aware of something without bis being aware that he is aware (see T_4 of section 1).

One may argue that this is highly improbable. For if man is aware at all of something without being aware that he is aware then certainly something must be wrong with him, for it would be grossly inconsistent. But this oddity can be dispelled. Our uneasiness here lies in the fact that a person cannot claim or say that he is aware that *p*. How many times, looking at a child's

behaviour, we can say that he is aware that *p* but not exactly aware that he is aware? J. Hintikka used two distinct notions of implication, the *epistemic* implication and the *virtual* implication in order to argue in favour of the thesis that we are talking about here (i.e. the Nyāya thesis, T_4). According to him, 'I am aware that *p*' *epistemically* implies (epistemic implication being defined in terms of a clearly defined notion of epistemic *indefensibility*) 'I am aware that I am aware thatp', but '*a* is aware that *p*' does not *virtually* imply (virtual implication being defined in terms of indefensibility *simpliciter*) '*a* is aware that he is aware that *p*'. If Hintikka's argument is right, then it lends additional support to the Nyāya thesis, T_4, to which we must now turn.[18]

It is obviously true that we cannot recall what we have not cognitively experienced. Nyāya readily accepts this point but goes on to point out that we do not recall everything that we have cognitively experienced. This does not always mean that my memory-impressions on such occasions have been lost. It may mean *occasionally* that I did not have a memory-impression to begin with! The general theory about memory-impression is that a memoryimpression of a particular object is generated (no matter how 'faint' the impression may be) as soon as the object is cognitively experienced. (A hypnotist can evoke from us sometimes recollection of an object which we had normally taken to be *not* experienced at all). But certainly we cannot recall what we never experience cognitively. This must be true of our awareness and other mental events when they play the role of the object of remembrance. Therefore, if under all possible provocations, I cannot recall that I had an awareness of (i.e. a perception of) an object, it is reasonable to assume that I did not have an awareness of that awareness of the object. It may be that I cannot remember that I had seen something at the moment I fell asleep, while an argument can be given to show that some seeing (perception) must have arisen at that moment; for I was awake, the lights were on, my eyes were open, etc. This will then prove that the presence of a cognitive event at a particular moment does not necessarily imply the presence of the awareness of the cognition. For I now understand, by the force of the argument suggested, that I *saw* something at that moment. This understanding is not remembering.

Nyāya further argues that it is possible to remember many objects without our necessarily remembering that we had once experienced these objects. We may now surmise or 'see' that we had experienced cognitively those objects, but this new awareness would not be a revival, i.e. the memory-impression of

the cognition itself. Such a state of affairs would be compatible with the view that we had experienced (cognitively) those objects, but we did not have the awareness of the cognitive experience until now; and for this reason we have been unable to recall it.

Nyāya says that it is not always necessary (cf. *avaśya*) that one should be aware of one's awareness either simultaneously (as soon as the awarenessevent arises) or at the immediately succeeding moment. I have tried to show that this view, although it initially strikes us as somewhat odd, is not incompatible with known and commonly accepted facts. We can explain our memory of many previously experienced objects, and on the evidence of such memory we can infer that such and such cognitive experiences must have taken place; but there is no logical compulsion here to say that we must have had also the awareness (inward perceptual recognition) of such and such cognitive experiences. For the Buddhist, self-awareness is an *essential* (necessary) property of each awareness. But if this is denied, the intermediate view is that the awareness of an awareness is an *invariable* concomitant of each awareness (invariably arising immediately afterwards). Nyāya goes further and says that the awareness of an awareness is only accidental (contingent), for it may or may not arise immediately afterwards, or may not arise at all.

Another good argument in favour of T_4 is that it becomes necessary to save realism as well as our pre-theoretic assumption of the possibility of our knowledge of the external world from the attack of such idealists as Dharmakārti. The usual counter-argument against Nyāya is this. If we admit that an awareness-event can occur in a person about which event he is unaware, we make a mental event as good as a 'material object' (*jaḌa*), for both the mental and the material can exist unperceived or uncognized. This consequence leads to materialism. Nyāya will accept the charge, for otherwise mentalism or idealism would win the day! For the usual mentalistic strategy is to introduce an insurmountable barrier between the mental and the non-mental (material), and then claim that the mental (a cognitive event, a mode of consciousness) cannot be connected with the material object unless it transforms the latter into a mental object. This would, therefore, create what has sometimes been called the 'veil of ideas'. An argument can usually be developed to show eventually that this veil of ideas becomes, in fact, our veil of ignorance about the external, material world: if this is so, then, in our explanation of knowledge and awareness, a reference to the external world would seem to be dispensible.

The other argument of Dharmakīrti leads to almost the same conclusion. If the awareness of blue and the awareness of that awareness of blue are necessarily arising together, and hence are ultimately indistinguishable, there is no way by which we can claim that the blue (the blue-form) in awareness is (or even corresponds to) a reality separate from the awareness itself.[19] The causal theorists can be easily faulted and hence an idealistic explanation of knowledge and awareness will win the day. The philosophic motivation of Nyāya behind its thesis T_4 is to deny this possibility at the very beginning. T_4 is consistent with commonsense because it is possible for me to say that this baby is aware of the red flower before him, but he is hardly aware that he is aware. Why does T_4 initially seem so odd? The answer is that we tend to confuse the first-person statements (which are necessarily true) with the third-person statements (which are only possible, that is only sometimes true). I cannot say that I am aware without my being aware that I am aware. But I can say of Mr. X that he is sometimes aware without being aware that he is aware. Then I can argue that what is true of Mr. X should be true of me, viz. that I could be aware without being aware that I am aware, although I cannot *say* that I am aware without being aware that I am aware. For *saying* it (a sort of *vyavahāra*, to use the Sanskrit term) presupposes my being aware of the awareness of it.

Udayana has added a further argument: our internal events such as pleasure and pain are necessarily perceived *inwardly* because they are irresistible (cf. *tivra-sawvegitayā*), but our awareness sometimes lacks this character of irresistibility. Hence it is not always *inwardly* (perceptually) recognized.[20]

4. NYāYA VIEW ABOUT KNOWING THAT ONE KNOWS

Nyāya differs from others in its theory about how we grasp the truth-hitting character of a piece of knowledge, i.e. the knowledge-hood of a knowledge. We grasp the truth, it may be said, when we know a piece of knowledge as knowledge, and not as a mere awareness. I may *inwardly* perceive an awareness in the next moment of its origin, but I need something more to grasp its truth-hitting character or its knowledge-hood. The Nyāya theory implies, in the first place, that I may know that I have an awareness without knowing that this awareness is true, i.e. a piece of knowledge. In fact,

if certain conditions obtain (or do not obtain, as the case may be), I may never know (or know) that this awareness of mine at moment t_1 was a piece of knowledge. Moreover, if I were falsely aware at t_1 it would never be revealed to me that this was a false awareness unless some other set of conditions obtains. On the other hand, the set of conditions that is fit to generate in actuality a cognitive awareness would generate it as either a *true* or an *untrue* (=*apramā*) one, for according to Nyāya, a cognitive event must be either true or untrue. An exception to this rule would be the case of a pure sensory awareness, a conception-free perception.

Vācaspati expounds the Nyāya view as follows.[21] First, we should distinguish the scriptural matters from mundane matters, for scriptures are different kinds of action-guide. Concentrating upon 'mundane' matters, we should notice the following. The 'mundane' matters of our acquaintance may be classified as those with which one has acquired familiarity (e.g. daily chores) and those with which one has not (cf. *anabhyāsadaśāpanna*). My familiarity with a cup of tea in the morning or that there is a cup of tea on the table belongs to the first case. My perception of an unfamiliar man approaching me would belong to the second type. Vācaspati says that, in both cases, the truth of my awareness is known to me by an inference but the nature of the inference varies substantially one from the other. In the second case, I know that my perception has been veridical (that I am not under illusion) because it leads to confirmatory behaviour (cf. *pravṛtti-sāmarthya*). For example, I can go and talk to the man; and his behaviour that follows, if confirmatory, would allow me to infer: this perception has been a case of knowledge, for it has led to confirmatory behaviours. This is rather a pragmatic solution of the problem within the context. We have to remember that commonsense dictates that knowing that we have a perception does not m any way guarantee that we have a veridical perception, and this is the strong point in favour of the sceptical arguments. Nyāya makes room for this common intuition, but proposes to resolve the issue as follows. A perceptual awareness, whose veridicality is in doubt or unestablished (cf. *sandigdha-prāmāṃyaka* or *agṛhīta-prāmānyaka*) is as good as a dubious cognitive awareness (cf. *saṃśaya*). But even a dubiety, Nyāya asserts, may prompt us to act, and such action can very well be crowned with success. In such cases, Nyāya says, we *infer* the knowledge-hood of the awareness on the basis of some, confirmatory behaviour as evidence. Behaviour, here, includes

activities. Vācaspati has said that our actions and awareness (belief?) are (causally) related in the following way:

> Action or propensity to act depends upon the awareness of the object (*artha*), not upon the *certain* determination of it; for intelligent people act even from a dubious cognitive awareness of the object. It is not that those who act even being certain that the means will bring about an end (e.g., farmers ploughing fields for future crops) do not entertain (occasional) doubt about the result that is yet to come.[22]

The point is that even if the knowledge that my present perception is veridical or yields knowledge comes later, my present perception, whose knowledgeyielding character (truth-hitting character) has not yet been determined, can initiate action or behaviour that may be confirmatory in the end. Udayana says: 'Everywhere, one tends to act, having considered that there is more to gain by acting, and that even if the result is not confirmatory, the loss is less (than gain)'[23] (I follow Vardhamāna's interpretation).

According to Vācaspati, in the cases mentioned above, when the matters are sufficiently 'familiar', another inference is used, to establish the truth of an awareness. Vācaspati calls it the '*tajjātīyatā*' inference. I shall call it 'inference from LIKENESS'. Briefly, it is this. Everytime that I am in the kitchen in the morning, I see a cup of tea on the table. In order to know that my perception that there is a cup of tea on the table is veridical in such cases, I do not always need confirmatory behaviour (I go and take it in my hand, drink it, etc). Rather I infer then and there *that* the perception that there is a cup of tea on the table is veridical (knowl edge-yielding), for it belongs to the same type, i.e. it is LIKE others, many others, I had had before. In such cases therefore, our action or tendency to act (or our behaviour) is prompted by a certainty about the object, for we already *know* that this perception is veridical. This explains our strong commonsense intuition that in many cases we act on the basis of a *dead* certainty about an object. This is admittedly an inference based upon a premise involving the rather intriguing notion of LIKBNESS. It says that if *A* and the likes of *A* have been proven before to have the property *K*, then if *A* is like *A* (in essential points), *X* has *K*.

Udayana discussed this intriguing notion of LIKENESS.[24] Briefly, the LIKENESS varies with each type of cognitive structure. Besides, one sort of LIKENESS would be emphasized in the case of perception, another in the case

of inference. Basically, the idea is this. On the first occasion, my awareness that 'there is a cup of tea on the table' (suppose on the first day) was no doubt a piece of knowledge, but I did not know immediately about its being a piece of knowledge until confirmatory behaviour proved it to be so. After some days however, I would start knowing its knowledge-hood immediately after I see the cup of tea, for I would instantly infer its knowledge-hood on the basis of its LIKENESS to my past veridical experience. The LIKENESS is also based, in this case, upon the identical structural content.

Just as most philosophers defend the commonsense assumption that '*a* is aware that *p*' virtually implies '*a* is aware that he is aware', most philosophers of both Western and Indian tradition would assert that knowledge of knowledge is virtually equivalent to knowledge *simpliciter*. However, the traditional philosophers used arguments based upon introspection to defend this thesis. Ryle has subjected this argument-from-introspection to severe criticism and thereby rejected the thesis. Nyāya, however, rejects the thesis on different grounds and propounds an alternative doctrine which may not be acceptable to a follower of Ryle.[25] Nyāya asserts that knowledge of knowledge is not virtually equivalent to knowledge *simpliciter*. Translated in terms of the episodic notion of knowledge, this would mean that what leads to the episode of knowledge in a person, *a*, is not identical with what leads to the episode of knowing that knowledge in *a*.

As we have noted in section 3, part of the apparent oddity in the Nyāya position can be explained away by contrasting the 'first person singular' statements with the 'third person singular' ones. The statement 'I know that *p* but I do not know that I know' is plainly absurd, but '*a* knows that *p* but he does not know that he knows' is not necessarily so. In fact, a follower of Nyāya would argue that the second statement is not at all absurd. This will simply mean that the set of immediate (causal) conditions that leads to the episode of *a*'s knowing that *p* is not identical with the set of conditions that leads to the episode of *a*'s knowing that he knows that *p*. Not only can the two episodes take place at different times, they can also have different causal precedents.

Udayana says that all of us have an inherent propensity in us to desire and look for knowledge (cf. *samutkaṭa-vāsanā*), but the fact is that a cognitive event only occasionally aruounts to knowledge (becomes a knowing event).[26] As a result, we frequently take (mistake) a false awareness to be a piece of knowledge. A man, for example, can take the appearance of a wandering monk and we would quickly (*jhaṭiti*) take him to be a monk; but we cannot

say that we *know* in such cases, unless we also know whether the appearance is faked or genuine, as the case may be. For a doubt as to whether or not the appearance was genuine would be overwhelming. In an 'unfamiliar' situation (*anabhyāsa-daśā*) of the above kind when a cognitive event arises and is also grasped (known), it is commonly felt that an overwhelming doubt as to whether tins cognition is genuine (i.e. a piece of knowledge) or not often arises within a very short period (say, in the second or third moment). This fact cannot be explained if we suppose that when a person knows that he is 'AWARE', he knows *ipso facto* that he 'KNOWS'. Moreover, we have to say that the person has already come to know about his awareness, i.e. that he is aware that *p*, if the said doubt as regards the knowledge-hood of the awareness is to be possible. For doubt regarding the qualifying characters, A-ness or B-ness, presupposes knowledge of the subject entity (*dharmin*). In other words, if somebody doubts whether an object is a camel or a kangaroo, he must have some acquaintance (at least a vague visual experience from a distance) with the object itself. Here the subject-entity is the awareness itself. Hence an awareness of this awareness-event is a prerequisite for the said doubt to arise.

The doubt regarding the knowledge-hood of an awareness *infects* what is grasped by the awareness itself. This doubt it to be removed by an inference to ascertain the knowledge-hood of the awareness concerned. In 'unfamiliar' situations, as we have already explained, the inference is based upon 'confirmatory' behaviour. In 'familiar' situations it is based upon 'LIKENESS' with other, already decided, knowledge-episodes, the second inference being very natural, automatic, and almost unconscious (it is not 'consciously' done unless, of course, we are sufficiently provoked). According to Nyāya, this fact misleads the opponent into the belief that if a person knows that he is aware that *p* then he also knows that he knows that *p*.

With such arguments, Nyāya supports the contention that knowledge of knowledge is neither equivalent to knowledge *simpliciter*, nor even to knowledge of the awareness event (which may, in fact, be knowledge). This seems to go against the new 'formal' proof offered by J. Hintikka in defence of the thesis that '*a* knows that' *virtually* implies '*a* knows that he knows that'. But I do not think that there is any conflict here as far as the 'formal' proof of Hintikka is concerned. Hintikka sharpens the notion of knowledge well enough and makes several assumptions in order to make his thesis almost irresistible. In fact, his basic assumption is the condition C.KK*, which is based upon the rule A.PKK*, and the equivalence of knowledge of

knowledge with knowledge *simpliciter* really turns on this assumption. But the infallibility of this rule may be disputed. Hintikka himself is quite aware of the problems involved here. He also requires, for his thesis to obtain, that the person referred to by *a* in '*a* knows that' knows that he is referred to by it.[27]

E.J. Lemmon once clearly rejected the thesis that '*a* knows that…' implies '*a* knows that he knows that…'. He said: ' …there is a clear sense in which it is untrue: there are many things people know without realizing that they know them.'[28] It is significant to realize that Lemmon disagreed with the Hintikka-type view even without developing a sense of knowing that may be identical with that of Nyāya. The upshot is that one cannot *deductively* prove that knowledge *simpliciter* is equivalent to knowledge of knowledge, unless one prefixes the notion of knowledge so as to make the thesis irresistible. And this is what Hintikka has apparently done. The insight from Lemmon's disagreement would be that, in some acceptable sense of knowing, very little of the kind of epistemic logic (that Hintikka envisioned) would be forthcoming.

This would be a good place to explain further the Nyāya notion of knowledge. Nyāya would say that *a* knows that *p*, provided:

1. *a* is aware that *p*,
2. proper (causal) conditions for generating a knowing event have obtained;
3. certain psychological conditions, e.g. dubiety, awareness of the opposite of *p*, etc. do not obtain; and
4. *p* is the case.

It now seems feasible to say that a subject, *a*, knows that p at time t_1, but he does not know that he knows that *p*. Notice that *a* does not have here the right to assert that he knows, even if all the four conditions are met. In other words, if he can assert that he knows, then Nyāya would say that he already knows that he knows. Even if *a* remembers later on that *p* was the case, Nyāya would say that *a* might have already known that he knew that *p*, although there is another possibility. It may be that *a* remembered simply the fact that *p*, not the fact that he knew that *p*; and from this fact of remembering that *p*, he now infers (i.e. knows) that his previous awareness was a piece of knowledge. The last event is an inferring, not a remembering.

In the light of the points mentioned above, some comments on Lemmon's example may be in order. Lemmon says that if he suddenly remembered an obscure fact about Persian history which he had learned as a child, it would be said that he knew this fact; but until he remembered it he did not know that he knew it. This is misleading. Lemmon is obviously against taking knowledge to be episodic ('current action' in his language), as Nyāya would like to have it. But in spite of this difference the following Nyāya observation is possible. Nyāya would say that it all depends upon what exactly Lemmon remembered. If he remembered simply that obscure fact about Persian history, then he is only warranted to assume that he knew it before. But if he remembered that he learned (knew) it in his Persian history class, as is often the case, then he would be warranted to assume, as we would be to assume about him, that he knew that he knew it (when he learned it). In fact, Lemmon's example is unfortunate from this point of view, for learning in a class is very often the case of knowing that one knows (in the Nyāya sense of the term). Thus unless one so defines knowledge as to make it analytically true that knowledge *simpliciter* implies knowledge of knowledge, it would always be possible to say of somebody that he knew that *p*, although he did not know at that moment that he knew that *p*. Thus the Nyāya thesis may very well be defended.

Our criticism of Hintikka here may appear to be too hasty. For, after all, Hintikka constructed a 'formal proof. But it is rather refreshing to note that we are not alone in rejecting the second part of the Hintikka thesis. Among the philosophers, A.C. Danto has very convincingly argued that the above part of Hintikka's theory (or that of Schopenhauer whom Hintikka cites as a predecessor in upholding it) is false, provided Hintikka by his use of the verb 'to know' intends to capture *usage*. In short, Danto points out, by using what he calls his 'style of *grosso-modo* proof', that the conjunction of '*a* knows that *p*' and '*a* does not know that *a* knows that p' is not inconsistent.[29]

The main argument of Danto is that '*a* knows that *a* knows that *p*' has a truth-condition in excess of the truth-conditions for '*a* knows that *p*', and 'in such a way that the full satisfaction of the truth condition of the former is satisfied'. It is thus possible to hold that the former could be false while the latter is true. Danto explains this point as follows: we can take the notion of 'understands the sentence *p*' as giving a truth-condition for 'knows that *p*'. Thus the former would require that a understands the sentence '*a* knows that *p*' while the latter simply that *a* understands the sentence *p*. Danto further comments: 'And surely it is possible to understand a great many things

without understanding what knowledge is, or what "knowing that" means.'[30] All this goes to support the Nyāya view against Hintikka and the Mīmāṃsakas of India. But we should also note that Danto does not contribute to episodic conception of knowledge as Nyāya does. And this might explain the fact that Danto reaches a conclusion similar to Nyāya against Hintikka through a slightly different route.

In the case of perceptual awareness and awareness derived from linguistic expressions (*śabda*), Nyāya clearly says that knowledge-hood of such awareness is established (known) by an inference based upon the evidence of either the 'confirmatory behaviour' or LIKENESS (according as it is an 'unfamiliar' or 'familiar' situation). But there seems to be a controversy among the Naiyāyikas, which most probably was initiated by Vācaspati, about how the knowledge-hood of this kind of inference as well as of the *inward* perception that caps an awareness is to be established. This will lead us to the next discussion.

5. INFERENCE, CONFIRMATION AND INTROSPECTION

There are many problems that arise in the context of the Nyāya view about knowledge of knowledge (that has been stated in the previous section). Naiyāyikas tried their best to resolve these problems and I shall deal with a few of them here. Several points must be understood when we try to formulate the Nyāya view (as Gaṅgeśa makes them clear).

(1) Doubt is infectious. If *a* entertains a doubt regarding the knowledgehood of his awareness that *p*, then *a*'s awareness becomes *infected* with doubt and this means that *a* cannot be sure whether *p*.

(2) Human action is not always prompted (i.e. caused) by knowledge. Thus *a* may act with regard to *p* even when he has simply an awareness that *p* (even when he cannot be sure).

(3) A person can be sure that *p*, only if he has a certitude (an awareness) that *p* and this awareness is *not* infected or overwhelmed with doubt as regards its falsehood. He does not always have to be sure by ascertaining the knowledge-hood of his awareness.

(4) One may say: if c_2 ascertains the knowledge-hood of c_1, we may need another c_3 to ascertain the knowledge-hood of c_2 and so on. This inifinite regress can be stopped in the following way. If c_2 ascertains the knowledge-hood of c_1, and no doubt about the falsehood of c_2 arises, there is no need to look for c_3, etc. to ascertain the knowledgehood or otherwise of c_2.

(5) Actions, behaviour, etc. are 'shaky' (cf. *sakampa*) when they are prompted by dubious awareness. They are 'unshaken' (*niṣkampa*) when prompted by a certitude about *p*. Such certitude may arise because either no doubt regarding the falsehood of the awareness has arisen; or when such doubts arose, they were removed on the basis of evidence.

(6) In sum, action in us is never produced by knowledge of knowledge. A person acts because he knows (not because he knows that he knows) or he is simply aware, or he is in doubt but wishes to benefit from doubt, etc. (cf. Pascal's wager).

All this would apply to perceptual knowledge and they can be applied (as Vācaspati and Udayana have shown) *mutatis mutandis* to scriptural knowledge.[31] Three further cases remain to be examined: (*a*) inferential knowledge, (*b*) knowledge of the 'result' (*phala*), that ensures confirmatory behaviour and (*c*) inward perceptual recognition.

First, let us deal with inference. The sceptic, who is fond of the infinite regress argument, might say: if some inference is supposed to impart knowledge of the knowledge-hood of an awareness, then we may need another inference to examine what the former inference is said to establish. Vācaspati answers this by saying that an inference properly made would be 'self-verifying' in nature. This cryptic statement of Vācaspati became a matter of controversy for the later Nyāya. According to Vācaspati, an inference is 'properly made' iff it is based upon a reason or an evidence (figuratively called 'inferential mark') that is *invariably* connected or concomitant with the property that is to be inferred (cf. *anumeyāvyabhicārilinga-samutthatvāt*). In other words, if invariable concomittance is guaranteed between *A* and *B*, then from *A* we infer *B*, and in this nothing can go wrong. If inference follows this 'logical' rule, it imparts indubitable knowledge (cf. *niṣkampam upapadyate jñānatn*). For,[32] 'The 'mark' is there (present), and the 'mark' cannot be present unless the 'marked' (the property to be inferred) is present.' It is not clear whether the point of Vācaspati is that a logical (argument-like) inference is valid *a priori*,

because the principle of such inference embodies a necessary truth. Perhaps this would be a *volte face* for a Naiyāyika. He says that any inference, whether it is of the kind (described above) that is based upon the logical 'mark' called confirmatory behaviour or upon a logical 'mark' about which all kinds of doubt regarding ks non-concomitance or deviation have been removed (cf. *nirasta-saniasta-vyabhicāra-śaṃkasya*)) would impart knowledge, and knowledge-hood of such inferential cognition cannot be doubted.

Vācaspati's expression 'self-verifying' (*svata eva pramāṃa*) would, of course, mean that the knowledge-hood of such inferential awareness (conclusion) would be known by the same set of conditions that would generate knowledge of that awareness itself. Since, according to Nyāya, each awareness is cognized by an *inward* perception, in this case also when the inferential awareness arisesran *inward* perception would grasp such an awareness as well as its knowledge-hood. In other words, what Vācaspati intends to say (as Vardhamāna explains) is: when I have inferred that *p* I *inwardly* perceive that I have inferred that*p*, and by the same token I inwardly perceive that this inferred awareness is a piece of knowledge.[33]

Udayana reformulates the matter as follows. In the case of inference, i.e. inferentialawareness, doubt may arise as regards its knowledge-hood in either of two ways. We may doubt the adequacy of the causal factors involved. Or we may doubt the knowledge-hood of the 'concluding' (resulting) awareness. Two relevant causal factors are involved: Knowledge of the concomitance (invariability) between *A* and *B*, and knowledge of the presence of *A* (in the case under consideration, i.e. in *pakṣa*) on the basis of which we infer *B*. Now if these two pieces of knowledge are established (known), Udayana says the first contingency, i.e. arising of the first kind of doubt, is removed.

The second contingency is removed as follows. The inferred conclusion is '*B* is there'. The relevant doubt would be of the form: whether this awareness is a piece of knowledge or not. This would, according to Nyāya, *infect* the conclusion and the awareness would then be virtually equivalent to a doubt of the form, 'perhaps *B* is there, or perhaps not.' But this latter doubt is, according to Nyāya theory, what actually initiates the process of inference. (It is technically called *pakṣatā*.) In other words, people infer generally in order to remove such a doubt; and hence when inference has taken place (i.e. an awareness '*B* is there' has arisen) the said doubt would have been removed alr eady. Therefore, both types of doubt are removed in this way. Hence when the *inward* perception takes place to grasp the inferential awareness (i.e.

when I know that I have inferred that *B* is there), it grasps also, in the absence of any possible doubt, the knowledge-hood of the said awareness. This means that we do not need a further inference in order to know the knowledge-hood of the inferred conclusion (awareness). (And this may be a good answer to a Nāgārjunian sceptic who talks about a vicious circle or an infinite regress.)

This position of Vācaspati does not admittedly fit well with the rest of the Nyāya system. But I do not think it is entirely unsatisfactory. We should notice that the so-called 'self-verifying' character of an inference is not essentially the same as it is in the rival (Mīmāṃsā) schools. The Mīmāṃsā school seems to assume that knowledge-hood is the *natural* trait of an awareness-event (only 'faulty' causal factors give rise to the cases of 'faulty' awareness, falsehoods); and hence when the awareness is known its knowledge-hood is also *necessarily* known along with it. For Vācaspati, however, the knowledge-hood of the inferential awareness is known only contingently along with the knowing (*inward* perception) of the awareness itself. It is insisted upon, for example, that this happens only when all the possible doubts are removed. Udayana has shown how such possible doubts can be removed (see above). Further, inference is not said to be indubitable here on *a priori* grounds: what is appealed to is only a *practical* impossibility (cf. 'Contradiction of Practice' = *vyāghāta*) of raising any doubt.

Vardhamāna adds that the *inward* mental perception that grasps the inference B is there' grasps it also *as* an inference. Since 'inference' means an awareness derived from sound evidence or reason, our *inward* perception grasps the awareness as one derived from a *logical* evidence. In Nyāya theory of inference, what is derived from a *logical* evidence (*sallinga*) can never go wrong. As Vardhamāna insists: 'For, an inference produced by the 'consideration' of a (logically) sound evidence is never false or a pseudo-inference.'[32] If this is correct, then our knowledge of our own awareness as an inference would automatically be knowledge of its soundness, i.e. its knowledge-hood. This implies that the Nyāya theory of inference is computational and the mechanism of inference can never deliver *false* inference as output. The output could be a false awareness (a pseudo-inference) if only the input (the "consideration" of evidence) is false. If the input (the premise or premises) is not false but the conclusion is not really *entailed* by it, the Nyāya mechanism for inference would not generate any output, any inferential awareness. For it would reject the input and say, as it were, 'it does not compute'. In other words, while in the Western tradition one can draw a *fallacious* conclusion from some premise (and hence we talk

about 'logical fallacies' in such cases), one cannot INFER, in the Nyāya sense of the term, using such a premise as one's input or initial awareness.

In spite of the above explanations by Udayana and Vardhamāna, later Naiyayikas never felt happy about such a view of Vācaspati. To be sure, while one can agree with the point that inference, properly made, is *always* true and hence a piece of knowledge (in other words, truth would arguably be its omnitemporal, if not its necessary, character), one cannot see why it would *not* be possible sometimes to raise doubts as regards the truth or knowledge-hood of some particular inference. Gaṅgeśa, Vardhamāna *et al.*, think that such doubts can be entertained, and when they arise in us a further inference is needed to resolve them. Hence Vācaspati's expression *svata* eva is actually interpreted to mean 'with ease' (*sukara eva* in Vardhamāna). Vācaspati's cryptic comment would then mean, according to Gaṅgeśa, the knowledge-hood of an inferential awareness is easily grasped. And this means that doubts as regards its falsehood are *generally* absent and hence there is *unshaken* activity after inference.

Vardhamāna suggests another alternative explanation. The 'self-verifying' nature does not apply to all types of inference, but only to the inference by which we infer the character of knowledge-hood in any other awareness. Hence the inference based upon confirmatory knowledge or LIKENESS would be knowledge, and knowledge-hood of such inference would be known as soon as that inferential awareness itself is known (by an *inward* mental perception). The ground would be almost the same as before: all doubts as regards this particular type of inference going wrong are removed and hence further doubt should not arise.[35]

This leads to the second case: confirmatory behaviour. Jayanta directs his attention to the notion of 'confirmatory behaviour' that is used as the 'logical' mark to infer knowledge-hood of some awareness. He refers to the interpretation of some previous teacher or teachers (cf. *ācāryaiḥ*), who say that confirmatory behaviour means another awareness that ensues upon the first or an awareness of the logical evidence to confirm the first awareness. The idea is that if I see a man approaching and later on shake hands with him, this second awareness of mine confirms the first. Or, the shaking of hands would be the logical mark, my awareness of which (cf. *viśeṣa-darśana*) will establish that he is a man, which in turn would show that my perception was veridical. However, Jayanta rightly rejects such interpretations and says that Vātsyāyana, who originated the notion of confirmatory behaviour in the first sentence of the *Nyāya-bhāṣya,* meant by it a sort of confirmatory knowledge

or confirmation by virtue of the 'effects' or 'result' expected of the object known (cf. *arthakriyākhya-phalajñānam*). My perception that it is water there would be known to be veridical if it, for example, quenches my thirst. Awareness of the latter fact would be called *phalajñāna*, confirmatory knowledge, or knowledge of the 'result'.

The question now arises about how we know the knowledge-hood of the confirmatory knowledge, according to the Nyāya scheme. Here Jayanta differs from Vācaspati in resolving the issue. Vācaspati insists that cases of confirmatory knowledge are similar to that of 'familiar' situation, and hence an inference based upon LIKENESS is needed to know its knowledge-hood. Jayanta says that confirmatory knowledge does not stand in need of verification. It goes against the invariable practice of all persons to raise doubt about the knowledge-hood of the confirmatory knowledge. Jayanta almost claims that it is impossible to entertain a doubt here. For one thing, since my purpose has been served (cf. *siddha-prayojonatvāt*)s i.e. my thirst has been quenched, there is no necessity to examine or question the awareness any further. In other words, absence of any doubt accounts for the non-arising of the question whether it is a piece of knowledge or not. For Jayanta says: how can I doubt whether I have a knowledge of water or not when I am already in the middle of water—taking a bath, for example? But this is only a practical impossibility, not a logical one. For one can easily imagine that \t is all a dream, my thirst and the quenching of it, etc. Assuming this objection, Jayanta gives an argument that he himself repudiated in another connection. He says that the difference between dream experience and waking experience can be marked by our inward feeling (cf. *samvedyatvāt*). 'Here 1 am awake, not dreaming'— .an inner perception of this kind is concomitant with our waking experience.[36]

This, however, is a desperate attempt to get out of a tight corner. For Jayanta himself agreed (a few pages earlier) with the sceptic, as against the other Naiyāyikas and Mīmāṃsakas, that there cannot be any ostensible mark that we are necessarily aware of, when a perception arises, whether it is veridical or not. He challenged his opponent to spell out such specific mark as would unmistakably distinguish the veridical perception from the non-veridical one. For it cannot be clarity or vividness (*spaṣṭatā-viśeṣa*, probably mentioned by Dharmakīrti in otiq connection), nor can it be unshakable disposition to act (*niṣkampatā*; Vācaspati refers to it), nor absence of any doubt, nor perceived absence of any contradiction; for all of them would equally and indiscriminably characterize both an illusion and veridical

perception and, one may add, even a dream. Even if we concede Jayanta's point about dreaming and the presence of our 'inner' evidence in waking experience, it is quite possible to imagine a situation, following Vasubandhu, which is equivalent to that of a mass hypnosis, or a Cartesian situation imagined to be created by an evil demon, or the case of a 'brain in a vat' as imagined recently by Hilary Putnam, where 'inner' evidence will not be of any help.[37] Jayanta, however, tries an alternative way of establishing our knowledge of the knowledge-hood of the confirmatory knowledge. We become certain about the truth of the confirmatory knowledge only after a satisfactory examination of all its causal factors. This would, therefore, imply that confirmatory knowledge may need verification on occasion. I can examine, for example, whether my eyesight is defective or not, whether I am excessively hungry (and therefore hallucinating those sumptuous dishes), whether I am dreaming or awake, and so on.

The opponent might say that we can in the same way engage ourselves in examining the causal factors to determine the veridicalness of the first perception for which confirmation was needed. Why do we have to resort to such a method in the second, confirmatory knowledge, and not in the first one? Jayanta answers that this is also possible but generally people resort to examining the confirmatory evidence rather than examining the causal factorse of the first perception when it arises. If I see water, I immediately act to sec whether it quenches my thirst (provide41 am thirsty); and if it does, my first perception is confirmed to be a piece of knowledge. This is a much easier way than examining the causal factors of the first perception and people usually take the easier way out. To quote: 'Who would ignore the proximate and go for the distant object?' In sum, there is a practical solution to the sceptic's problems, but the super-sceptic can never probably be answered satisfactorily.

In confirmatory knowledge we, in fact, reach the end of the line. If the regress which the sceptic points out has to stop anywhere then it stops here. Mortiz Schlick has commented about the nature of confirmations (as Mohanty has already pointed out): 'They are an absolute end. In them the task of cognition at this point is fulfilled… it gives us a *joy* to reach them, even if we cannot *stand* upon them' (my emphasis).[38] Jayanta holds another view that coincides with that of the sceptic. He says that it is possible for all cases of our awareness to be considered as infected with doubt or uncertainty in the beginning, i.e. prior to confirmation, etc. For so long as the certainty about its knowledge-hood (or otherwise) has not arisen we can say that there

is a lack of certainty as regards the truth of my awareness, although an actual doubt has not arisen; and this lack of certainty transmits itself to the object of my awareness or 'infects' it. Hence there is a possibility of universal doubt in this extended sense of the term 'doubt'. Jayanta says that by 'doubt' here he would designate the lack of certainty which characterizes each awareness due to the lack of ourf knowledge about its truth.[39] The reason for conceding this position to the sceptic has already been explained. The Nyāya position that the knowledgeyielding character of an awareness cannot be known at the moment the awareness arises may entail such a possibility of universal doubt. We will initially lack certainty about the truth of any awareness. Jayanta says clearly that he is not arguing for the establishment of the possibility of universal doubt, but the Nyāya position might entail this possibility.[40] Each awareness, in other words, is suspect until proven not guilty.

Vācaspati, I have already noted, has a different view about the cases of confirmatory knowledge. He thinks that they should be treated in the same way as our perception of 'familiar matters' (*abhyāsadaśāpanna*) is treated. For they are after all 'familiar' through habit, repetition, practice, etc. Hence our knowledge of the truth of the confirmation is given by the inference (of the kind described before) based upon LIKENESS as the logical mark. Many times, for example, I drink water and thirst is quenched. Hence the 'instant' inference based upon LIKENESS gives the required knowledge that the confirmatory awareness of the quenching of thirst is true or is a piece of knowledge. The former confirmatory awareness only reinforces the latter. But it is possible to reach a point when I am drinking water for the first time to quench my thirst (before now, suppose I drank only coke);[41] in that case the inference based upon LIKENESS would not be available to me. Vācaspati anticipates this point and answers that in this case my tasting (drinking) of water belongs to the class of mundane objects or matters with which no 'familiarity' has been developed (*anabhyāsa-daśāpanna*). Therefore, here my action or tendency to act would (causally) follow from mere awareness which may even be a dubious one, but not from my *knowledge* that it is a piece of knowledge. When confirmatory behaviour follows, I become truly aware that I have a confirmatory knowledge. Vācaspati qualifies this statement by saying that such further confirmation of the initial confirmatory knowledge is needed only when we entertain a doubt about the veridicalness of the initial confirmatory awareness on the analogy of dreams, etc. The idea is that I might experience quenching of the thirst but still I may not be sure whether it

is not a dream, etc. for in dreams, etc. I can also have the same experience. When such a problem arises, I depend upon confirmatory behaviour to support my confirmatory knowledge (e.g. I may just examine whether the thirst is gone, wait for a few minutes, etc.).

Vācaspati, therefore, gets out of the dilemma posed by the sceptic as follows. The problem is this. In saying with Nyāya that an awareness is known to be knowledge by another knowledge—in fact, an inference—we may end up with either a vicious circle or an infinite regress. For even to make such an inference possible we need a knowledge of the logical 'mark', i.e. either a knowledge of what we have called LIKENESS or the confirmatory behaviour. Now the second knowledge may need further confirmation. In other words, we have to know its knowledge-hood to prevent the 'infection' of doubt. (A dubious awareness of the logical mark does not generate inference.) Vācaspati says in unmistakable language:

> The awareness of the logical mark LIKENESS, belonging to the first awareness, is a mental perception. Falsity of such mental perception is not (never?) to be found, and hence all doubts about its being wrong are completely (*parītaḥ*) removed. Therefore knowledge-hood of this (mental perception) is 'selfestablished'. Hence there is no infinite regress.[42]

Here 'self-established' is explained again by Vardhamāna as 'being known (established) by (another) *inward* (mental) perception, which grasps the first mental perception'. An awareness, say c_1, whose veracity is not known yet, certifies the knowledge-hood or veracity of another awareness, say c_2, provided no doubt has originated regarding the lack of veracity of c_1. If such a doubt arises, it infects the object of c_1, and thereby renders the veracity of c_2 dubious. In such cases we have to remove the initial doubt by the knowledge of c_0 which will certify the veracity of c_1, and it in its turn will certify the veracity of c_2. This need not lead to an infinite regress as long as we admit with Nyāya that a piece of knowledge does not have to be *known* first as a piece of knowledge for it to certify the veracity of another. The last in the series (backwards), c_0, can by itself do the job of certifying, and the cognizer may meanwhile move to a different subject and/or may not pause to question the veracity of c_0. This seems to be a better and pragmatic explanation of the Nyāya reply to the sceptical charge of infinite regress.

If Vācaspati is to be interpreted *literally*, then one has to say that he divides knowledges (knowing events) into two groups. There are those cases, whose knowledge-hood is established by a separate inference: external perceptions and knowledge from scriptures or linguistic expressions. There are others whose knowledge-hood is 'self-established' (i.e. established by whatever grasps the awareness itself): inference, *upamāna* (analogical identification), and mental perception. Udayana adds one more item to the second list: *dharmi-jñāna* (perceptual awareness, internal or external, of the entity that constitutes the subject-entity of a 'propositional' or constructive awareness), e.g. awareness of *a* which is a constituent of the awareness '*a* is *F*'. Udayana believes that the knowledge-hood of the awareness of *a* cannot be doubted in this case, for that would make the construction '*a* is *F*' practically impossible. In other words, if I am already aware that *a* is *F*, I must have already an awareness of *a*.

The prevailing Nyāya view, however, is that knowledge-hood of all knowing events *can* be established by an inference (of either kind described above), whenever it is possible to doubt whether the cognitive event concerned is a piece of knowledge or not. Udayana, therefore, offers the following compromise between Vācaspati's statement and that of other Naiyāyika's. When Vācaspati uses the expression 'self-established', he simply means that it is not the case that these are never self-established and this implies that these knowing events are *mostly* (though not always) self-established.

In other words, according to Udayana, Vācaspati's intention is to underline the undeniable fact that these knowing events are such that their knowledge-hood is *easily* (cf. *sukara eva*) established by the immediately succeeding mental perception of these events. This is so precisely because chances of doubt, as I have already rioted, are practically non-existent in these cases. But Udayana insists, it is quite (logically) possible that a person is in doubt as regards their knowledge-hood. In such remote cases, however, their knowledgehood can be established by another inference (cf. *parataḥ*). The supposed infinite regress can be stopped through practical considerations that we have already noted.

Another important point that we must note in this connection is this. Both Gahgesa and Udayana seem to allow that our mental *inward* perception of inner events, such as, cognition, pleasure, pain and desire, is *invariably* a piece of knowledge (cf. *prāmāṇya-niyatatvāt*, Gaṅgeśa), although we may

not *always* know its knowledge-hood automatically. To show this the following argument is suggested.

Let us suppose that a person, *a*, is aware that this is silver. This awareness may be true or false according as the object identified or referred to on that occasion by 'this' is a piece of silver or not. Next, he has an *inward* (mental) perception of this awareness in which he is aware that he is simply aware that this is silver. Since the second awareness grasps the first simply as an awareness (not as knowledge or illusion) nothing can possibly go wrong in it. The second awareness could have been wrong or false only if the first awareness were not, in fact, an awareness. But this is ruled out from the beginning. This point seems to be intuitively grasped when somebody says: 'How can I be wrong about my own feelings, intense pain, etc.?' Udayana says that our inner episodes are sometimes characterized by an intensity (*tlvra-saṃvegitā*) such that they force themselves into our consciousness, such as some intense pain. Some cognitive events (awareness) have this character of intensity, and hence there always arises a mental inward perception of them; and such perceptions can never be misperceptions. This would mean that, according to Nyāya, one cannot be deluded about one's being in pain etc.:

> Just as the knowledge-hood (of an awareness), with regard to "unfamiliar" situations, is ascertained (i.e., known) by confirmatory behaviour, the falsity (of an awareness) is ascertained by failure of such behaviour. Similarly, just as before the confirmatory behaviour ensues in "familiar" situations knowledge-hood is ascertained by LIKENESS, falsity (in such situations) is also ascertained (through LIKENESS).

A person suffering from eye-disease will see a double-moon repeatedly in the evening sky, and this will, therefore, be a case of 'familiar' situation. But he will still take it to be false on the basis of the LIKENESS inference. He will see that this cognition resembles in relevant respects other cases of false awareness (where falsity has already been determined). This is the general LIKENESS. He would also see that his cognition resembles, in essential details, his first awareness of the double moon (when his eye-disease started and when he ascertained its falsehood by asking others, etc.).

This shows that Nyāya is consistent in maintaining that a person may be aware that he is aware that *p*, but this is not enough for him to know whether *p* is true or not. Knowledge-hood and falsehood are properties of his (first)

awareness and he may remain unaware whether his awareness has such a property or not even when he is aware of his (first) awareness. Usually an inference (of either kind described above) helps us to establish the knowledge-hood as well as falsity. However, when an *inward* perception is grasped by another *inward* perception, Udayana says that its specific characters, *inwardness*, etc. are also grasped thereby. This is another way of saying that we grasp its knowledge-hood also by the same token. But if we still indulge in a doubt as regards its knowledge-hood, we have to fall back upon an inference to resolve it.[43]

NOTES

1. A.J. Ayer, 1956, pp. 23–24.

2. Sālikanātha, pp. 170–73.

3. Kumārila Bhaṭṭa holds that a cognitive episode is imperceptible, that is to say, it is not even amenable to *inner* perception. According to him, we become aware of the occurrence of a cognitive episode in us with the help of an automatic inference: we know the object first, and then from the known-ncss of the object we infer that a cognU tivc episode has therefore arisen. This is called the theory of *jñātatā-liṅgakānumāna*.

4. See Kumārila, *Codanā-sūtra section*, verses 33–61. See also Gaṅgeśa, *Prāmāṇyavāda* section.

5. This position is ascribed to the SāŁkhya school by Kumārila.

6. See Dharmakīrti's introductory comments in his *Nyāyabindu*.

7. Diṅnāga, 'Mānasaṃ cārtharāgādi sva-samvittir akalpikā', *Pramāṇasamuccaya*, ch. i, verse 6ab. See M. Hattori, pp. 92–94.

8. M. Nagatomi, pp. 243–60.

9. Mokṣākaragupta, ch. i, 6.1. See Y. Kajiyanu, pp. 45–47.

10. *Nyāyabindu* ch. i, 10.

11. 'Kalpanāpt sva-samvittav iṣṭā nārthe vikalpanāt', *Pramāṇasamuccaya*, ch. i, verse 7ab.

12. *Ibid., Vṛtti* under verse 11ab. See M. Hattori, pp. 29–30.

13. Dharmakārti, *Pratmṇavārttīka*. ch, in, verses 385–86.

14. See M. Hattori, p. 30, pp. 111–13.

15. Śāntarakṣita, verse 2011.

16. The oft-quoted line is: 'Sahopalambhaniyamād abhedo nīla-taddhiyoḥ'.

17. John Locke, *Essay*, II, i, 4.

18. J. Hintikka, 1962, pp. 79–81.

19. See note 16 above. Another oft-quoted line of Dharmakīrti is: 'Apratyaksopalambhasya nārthadrstih prasidhyati.' See for a discussion of this line, B.K. Matilal, 1974, pp. 145–47.

20. Udayana, *Parśiuddhi* (A. Thakur's edn.), p. 100.

21. *Ibid.*, Vācaspati (Thakur's cdn.), p. 29.

22. *Ibid.*, p. 29.

23. Udayana, *Pariśuddhi* (Thakur's edn.), p. 95, For Vardhamāna's comment, see Bibliotheca Indica edn, p. 100.

24. *Ibid.* See comments of both Udayana and Vardhamāna. See also J.N. Mohanty, pp. 53–54.

25. Thus Hintikka comments: '…Ryle rejected, namely, that knowing something virtually implies knowing that one knows.' Hintikka, 1962, p. 111.

26. Udayana *Pariśuddhi*, (Bibliotheca Indica edn.), p. 49.

27. J. Hintikka, 1962, pp. 106–10.

28. E.J. Lemmon, pp. 38.

29. A.C. Danto, pp. 100–03.

30. *Ibid.*, p. 101.

31. Vācaspati (Thakur's edn.), p. 29; Udayana, *Ibid.*, p. 99.

32. *Ibid.*, p. 29, and p. 97.

33. Vardhamāna (Bibliotheca Indica edn.) p. 112.

34. *Ibid.*, p. 112. Vardhamāna comments: 'Na hi sallingaparāmarśad anumitir ābhāsībhavatītyarthaḥ'. For Gaṅgeśa's comment see *Pratyakfa* volume, pp. 283–84.

35. Vardhamāna, *ibid.*, p. 112.

36. Jayanta, pp. 158–59.

37. H. Putnam, pp. 1–21.

38. M. Schlick, 'The Foundation of Knowledge,' in A.J. Ayer (ed.) *Logical Positivism*. See also J.N. Mohanty, p. 52n.

39. Jayanta, p. 157.

40. Jayanta, p. 157; J.N. Mohanty calls this an 'absurd' view. See Mohanty, p. 55n. I do not think this to be a fair criticism: each awareness is a 'suspect' until proven innocent.

41. This is indeed a possibility. The young son of my American friend once commented in my presence that he drank only coke for he thought that drinking water would not quench thirst.

42. Vācaspati (Thakur's edn.), p. 30. See Udayana's comment in *ibid.*, p. 99.

43. *Ibid.*, p. 99. Compare Udayana's comment: 'Utpatter evārabhya viṣaya-viśeṣa-grahaṇa-grastatvāic ca na śaṅkāvakāśaḥ.'

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THE INDIAN CONCEPTS OF KNOWLEDGE AND SELF

(Second instalment)

KALIDAS BHATTACHARYYA

The Nyāya-Vaiśeṣika doctrines that mental states are short-lived and that two or more such states cannot co-exist were examined in the last section. We arrived at the following conclusions:

(*i*) There is no possible denial of mental states as emergent and cessant. (*ii*) Their cessation is due to no foreign cause, they are self-destroying; and continuation is not incompatible with self-destruction. (*iii*) Co-existence of two or more mental states is not merely not impossible but often a fact.

In the next section we propose to examine in detail the Nyāya-Vaiśeṣika concept of *Object*.

Section III

The concept of object examined

A. *Nyāya-Vaiśeṣika concept of Object reiterated*

Nyāya-Vaiśeṣika has distinguished between object (*viṣaya*) and the real (padārtha). A real becomes an object when it is known; and as the content of sl *possible* (not actual) knowledge, it is a *possible* object. The real is that which as absolutely independent of my present knowledge has only been revealed by it. When it is so revealed (known) there occurs between it and the knowledge a relation which as belonging to the real is called its objectivity (viṣayatā), but as belonging at the same time to the knowledge it is subjectivity (*viṣayatā*) of that knowledge. Objectivity, unless it be only *possible*, is, in other words, an extrinsic relational property accruing to the real when it is known.[1] This concept of objectivity was elucidated in further details in Section I.

In that Section it was also shown that this objectivity is almost a tertiary property, in the sense that though it belongs to the real, and not, as objectivity, to the knowledge of the real, it yet, as a relational property[2], is constituted by that knowledge.

For a proper understanding of this two questions which were not raised in Section I need here be examined. They are (*i*) whether the relation cannot be extrinsic in the sense that it is not constituted by either term, and (*ii*) whether objectivity as a property (relational or not) may not be due to knowledge as an efficient (*nimitta*) cause, not constituted by it.

The reply to the first question would be this:

Relation may often be extrinsic in the sense indicated, but never so in certain cases, particularly where it is between knowledge and the real that is known. Between the world of knowledge and that of reals there is nothing that is not included in either. Hence the relation between an instance of knowledge and the real known must belong to one of these worlds. As a

matter of fact, it is found to belong to either alternatively: knowledge is *of the real* and the real is *known*. In the former case the relation belongs to knowledge, in the latter it belongs to the real. The relation between knowledge and the real is not, in other words, a simple affair like that between any two reals.

It may be asked if the dichotomy of the knowledge-world and the thing-world is metaphysically justified. Modern realists have questioned this, and we are told that Nyāya-vaiśeṣika also does not allow this. Is not knowledge knowm quite as much as other things?

Knowledge indeed is known like other things. Yet the knowledge that is known is knowledge *of a particular thing*. No other thing is necessarily *of another thing*. So far knowledge is fundamentally different from other things. Nyāya-Vaiśeṣika only insists that this type of thing is nevertheless revealed as an ordinary thing in another knowledge and, as so revealed, is an object. Knowledge, in other words, as necessarily *of a thing*, is necessarily subjective (*viṣayin*), and yet there is no metaphysical clash between this subjectivity and the objectivity (thinghood) of knowledge. Included in the sweeping world of things there are two entirely different types, viz., those which are necessarily subjective and those which are not so. The distinction between the two is more deep-seated than that between a tree and a blade of grass. Neither the tree nor that grass is necessarily subjective[1].

The second question was whether knowledge to which objectivity is due is not its *efficient* cause. Our reply is: it is not an efficient cause, it is constitutive. The reason is stated below:

Objectivity, though a property of the real known, is also the relation between that real and the knowledge. It is a relation of the real to that knowledge. As *of the real* it belongs to the real, but as a relation *to that knowledge* it is constituted by the knowledge. The real is here the locus (*anuyogin*) of the relation, and knowledge its constitutive determinant (*pratiyogin*). There is no mere relation, no relation that is without a constitutive determinant[2]. A further peculiarity of the determinant of a relation is that it is never a class, unless the relation is specifically of a thing to a class. Object, from this point of view, may then be defined as that real which has for a property a relation constitutively determined by the

knowledge of that real. The *real* here is not constituted by knowledge, because the relation in question is its extrinsic property. But objectivity and, therefore, object also are constituted by knowledge. 'Constituted by knowledge' may not mean that knowledge is an *upādāna kāraṇa*, but there is no denying the fact that objectivity is somehow constituted by knowledge.

The very concept of object as the real that has been known involves reference to knowledge. No effect, on the other hand, involves in the very concept of itself reference to its efficient cause. This also proves that knowledge is not efficient cause (but constitutive of object).

But though objectivity is constituted by knowledge this does not mean that the total knowledge-situation is to be interpreted idealistically. Objectivity belongs also to the real as its property, and this real is independent of the knowledge that reveals it. The reals as such are apprehended in non-judgmental perception (*nirvikalpa-pratyakṣa*)[1]. This, again, is not the only reason why Nyāya-Vaiśeṣika sides with realism. There is another reason more fundamental. The fundamental postulate of knowledge, Nyāya-Vaiśeṣika contends, is that whatever appears independent of knowledge is truly independent[2]. Objectivity, though constituted by knowledge, appears independent. Hence it is truly independent. The only way to reconcile this independence with its being constituted by knowledge is to hold that the independent is the real as such and objectivity as constituted by knowledge belongs nevertheless to this real.

The postulate is not dogmatic. It is capable of some sort of proof. If O appears independent of knowledge it is either really independent or not. But the negative alternative is untenable. If it were not really independent it was either the knowledge itself or constructed by it. But it cannot be either. To no corrective awareness is it ever felt that way. One cannot also insist that, whether felt or not, it is *inferred* that way. The apparent objectivity of O would go against that inference. No cognition ever appears independent of itself, and no cognitive construction appears independent of the cognition that constructs it. It cannot be said, again, that the independence is an illusion. The independence as such cannot be an illusion. There is no

illusory content which, or the like of which, was never presented as real[3]. Object, then, is independent of the knowledge of it.

This independence of object is the same thing as the fact that objectivity belongs to the real as a contingent property, which means that object being independent of knowledge does not clash with its being constituted by knowledge. Even if this were not the case, but object or objectivity were understood as itself independent of knowledge, even then there would be no great difficulty. To be constituted by knowledge would then, it is true, contradict the fact that it is independent of knowledge. But where a contradiction is forced upon us, and there is no way out,[1] it has to be submitted to. Such cases, however, ought not to be multiplied for the mere luxury of speculation.

In spite, then, of being constituted by knowledge, object or objectivity is real. But there is yet another difficulty to remove. Nyāya-Vaiśeṣika has classified reals into seven original groups. But object or objectivity appears to belong to none of them. Forms of objectivity, viz. *viśeṣyatā, prakāratā, etc.*, and therefore object also, are neither *dravya* nor *guṇa* nor *karma* nor *sāmānya, samavāya, viśeṣa* or *abhāva*. If they do not belong to any of these they ought not to be called real. This is the difficulty.

Nyāya-Vaiśeṣika has removed it in two ways[2]. Most objects and therefor also the forms of objectivity involved are the *svarūpa* of reals; and some objects, particularly those which are false, are only to be analysed into real constituents where the form of objectivity is not substantive-adjective *sāmānādhi-karaṇya*, but only *saṁsarga*. What is meant is that the total object of illusion is only a loose unity.

To explain. An object as the content of knowledge is always a complex unity. The elements of this unity are reals (*padārthas*) which as such are knowable in *nirvikalpa-pratyakṭa* only, and the relations that are added in *savikalpa* knowledge are, as seen, both knowledge-wise and reality-wise.[3] As reality-wise they are taken as real, and unless contradicted they are also really real. The elements and the relations are thus equally real. If the relations cannot be placed among the catalogued *padārthas*, this is because these relations, though real, are not *additional* realities. If a real A is really related to a real B, this does not necessarily mean that the relation is a *third* real entity. The Buddhists too have admitted this when they hold that

santāna which is as real as the *kṣaṇikas* is yet not other than these. Many Western thinkers also insist that relations, though really relating, are not other than relata.[1] All the difficulty arises when the reality of relation is misunderstood as its being a third entity. If it is not third, if, in other words, the real relation is exhausted in the catalogued *padārthas*, there remains no difficulty- in admitting its reality. Nyāya-Vaiśeṣika holds that the so-called additional relation we are aware of in *savikalpa-jñdna* has this status only. They are exhausted in, another name of which is that they are the svarūpa of, the *padārthas* they relate, not additional realities.

Not that all entities which we call *relation* are of this type. Inherence (*samavāya*) and contact (*sarhyoga*) are called relation and they are additional reals. Similaly when a fact or a series of facts which are normally treated as terms (as opposed to *relation*) act as relation (*e.g.*, between a father and a child) they, even as relation, are additional entities. The additionality of inherence and contact follow from the fact that they are matters of *nirvikalpa-pratyakṣa*, and that of the facts or the series is immediately evident. Where there is no such special reason or immediate evidence a relation need not be additional. A flower, its red colour and the inherence of the latter in the former are, according to Nyāya-Vaiśeṣika, separate reals; yet in the perceptual judgment (*savikalpa-pratyakṣa*) of the form 'this flower is red' where the inherence of the red colour in the flower stands as related to that flower and that colour, this second relation need not, because there is no special reason or immediate evidence, be a separate object. Not that it is therefore a subjective construction only. We have seen why, according to Nyāya-Vaiśeṣika, it has to be taken as real. It follows that such relations are real and yet not other than the reals they relate. Such relations are the *svarūpa* of the *padārthas* related.

The above is the account of the object of normal *savikalpa-pratyakṣa*. The account of the *false* object (assuming that falsity has been detected) is different. In erroneous *savikalpa-pratyakṣa* the total object is definitely known to be not real. Hence though, like the object of normal *savikalpa-pratyakṣa*, it too is broken up into real elements and a relation, can the relation be taken as the *svarūpa* of the elements, seeing that the total object *is not real*? Ordinarily we should say 'No'. But Nyāya-Vaiśeṣika prefers to stick to the claim that *vikalpa* relations are the *svarūpa* of the *padārthas* related. They stick to it, only because it has followed from the fundamental

postulate that whatever appears as independent is really independent. Object, everywhere, is to be analysed into the constituent reals and the *vikalpa* relations, which latter are everywhere exhausted in those reals. But how, then, could the total object be unreal here? Nyāya-Vaiśeṣika replies as follows:

The total object here is no olose unity. When the illusion is exposed the elements cannot be said to have been apprehended as related in the way of substantive-adjective identity (*sāmānādhikaraṇya*). The unity here is loose, it is of the form 'P is in S', not of the form 'S is P'; and such unity is only nominal, no genuine unity. This, in effect, means that when the illusion is exposed we cannot say there was any genuine close unity of S (*this*) and P (*snake*).

Not that 'P is in S' is never a close unity. Rather, normally it develops into that. 'P is in S' is easily translatable into 'P is *as in S*'='S is *with P*' whioh is a close unity. But such translation is sometimes impossible, particularly when it is known for certain that there is no real 'P as in S'. 'Horns are in the hare' cannot be translated into 'Horns are *as in the hare*'. While a denial of the former is intelligible it is impossible to deny the latter in the form 'Horns *as in hare* are not'. Every judgment, whether affirmative or negative, presupposes that at least the subject-term stands for a reality, but 'horns as in the hare' stands from the beginning as self-condemned. There is no such difficulty, on the other hand, in the judgment 'Horns in the hare are not'. This judgment is only a periphrasis of 'Horns are not in the hare' where the subject does not stand for a wholly nonexistent thing. If, now, denial here is intelligible in the only form 'Horns are not in the hare', the corresponding affirmative judgment cannot but be in the form 'Horns are in the hare', not 'Horns are *as in the hare*' The false object of an illusion corrected has also to be understood in this form. We cannot say 'This is snake' or 'The snake is *as in the locus*', we must say 'The snake is in the locus'. In the case of "hare's horn" or 'this snake' we are compelled to say this, only because stating the situation the other way about would stand self-condemned: we already know that "hare's horn" or 'this snake' is not real.

Denial of substantive-adjective identity does not, however, mean that there is no *vikalpa* relation here. Every *savikalpa-jñāna* must involve *vikalpa* relations that are also asserted as real. But here the *vikalpa* relation is anything but identity. It is *saṁsargat* meaning any relation but identity.

The 'in' in 'horns in the hare' or 'snake in the locus' is the *vikalpa* relation of *saṁsarga*. A distinction should be drawn between (a) *ghaṭo nīlaḥ*, (the pot is black), (b) *ghaṭe nīlaḥ*, (black colour is in the pot) and (c) *ghaṭo nīlatvavān* (the pot is with black colour). In (a) the *vikalpa* relation is substantive-adjective identity (*sāmānādhikaraṇya*). In (b) it is *saṁsarga*. In (c) it is more complicated: there is a turn back to *sāmānadhikaraṇya* through *saṁsarga*. Normally (b) and (c) coincide. But in cases like "hare's horn" or 'this snake' (b) fails to amount to (c). In the case (b) the content is peculiar. Though there is the *vikalpa* relation of *saṁsarga* the total object is not a close unity. A pure case of (b) is not indeed a normal occurrence. We have to recognise it only where we are already assured that there is no real total object, as in the case of error[1].

B. *Indian theory of object* vis a vis *Western theories*

In Nyāya-Vaiśeṣika, object (*viṣaya*) is neither wholly reducible to knowledge and its phases, and is so far real, nor wholly equated to reality (*paādrtha*), though it is the *svarūpa* of that. Object as the *real*-that-is-known is as much real as reality itself, and yet as the real-*that-is-known* it is not entirely that real also. Were it the real itself there would have been no occasion to distinguish between the real and the real-as-known. But, again, even as not entirely the real, it is also exhausted in, *i.e.*, the *svarupa* of the real. Also-objectivity, though not wholly reducible to knowledge and its phases, is yet constituted by knowledge, being unintelligible apart from the fact that the corresponding real is being known. Almost all Indian thinkers accept this view. Those who accept it differ only in further details. But most of the Western thinkers would reject it altogether. Western realists would never admit the intermediate *object*: they hold that knowledge is straight in relation with the real. Idealists and semi-idealists in the West would also, contrarily, deny object, reducing it to knowledge and its phases, and either reject the so-called real thing or admit it as never bodily knowable. A Berkeley would deny the real altogether, and a Kant or a Hegel would go the second way about.

In defence of the intermediate *object* Indian thinkers would argue as follows:

Awareness of a real is either judgmental (*savikalpa*) or pre-judgmental (*nirvikalpa*). When it is savikalpa certain relations—forms,of judgment—creep in. What is the status of these forms? Are they modes (or functions) of knowledge, or are they real, or both? On the first alternative, realism, at least with regard to the content of *savikalpa* knowledge, is gone. On the third alternative there would indeed be a type of realism, but it would be more Indian than Western. The second alternative would only add difficulties. Are hypothetical and disjunctive forms and forms of inference real in the realistic sense? They evidently involve subjective experiment; and so the contents of hypothetical and disjunctive judgments, and also of inference, embody the experiment: the resulting propositions and the conclusion are in the form 'if—then—', 'either—or—' and 'therefore—'. Attempts to get rid of such embodiment of the experiment have always looked forced. The reduction of the hypothetical proposition to the categorical may be a piece of skilful translation work, but no hypothetical proposition ever means a categorical fact only. It follows that the reduction of the disjunctive proposition to the categorical is equally a faliure, for such reduction is possible through another reduction, viz., of the disjunctive to the hypothetical. It is doubtful, again, if even the latter reduction is complete and natural. Even if a disjunctive proposition can be analysed into two or four (or whatever be the number) hypothetical propositions we must not forget that the disjunctive proposition is the *unity* of those hypothetical, that unity being its specific characteristic. The attempt to get rid of the "therefore" in inference would also be equally abortive, that "therefore" being the very characteristic feature of inference. There is indeed something like "because— therefore "in the hypothetical proposition also; but it is only *like* that. In "because-therefore" the antecedent stands asserted. But it is not so asserted in "if-then.", unless "if-then" be only an apologetic softening of "because-therefore".

What, now, is true of these judgments and inference is true equally of categorical judgments, affirmative or negative. Negation may or may not be real, but it is no good denying that the negative judgment involves subjective experiment. There is such experiment so far at least as the *possibility* (*yogyatā*) of the negatum being related to its locus is concerned.

The experiment is also embodied in the content, though not so obvertly as before. In hypothetical and disjunctive judgments, and also in inference, the embodiment was evident in the forms of "if-then", "either-or" and "because-therefore"; but *possibility* which is an embodiment of subjective experiment is not stated explicitly in a negative judgment. Yet if the negatum were not understood as a possible real relatable to the locus, there would be no negative judgment at all. "S is not P" necessarily implies, though this implication does not come up to the surface, that *a possible reality P relatable to S* does not stand so related to it. Though negation, whether by way of identity or that of *saṁsarga*, may be a reality the form of the negative judgment—which form is also inevitably asserted of the content—is not a reality in the realistic sense.

As regards affirmative judgment, one type of-it, *viz.*, the universal, cannot have a form that can pass unchallenged as realistically real. Like negation, the universal also may or may not be real as the realist understands it; but in the universal judgment we do not merely assert a universal related to another universal. In the judgment "All men are mortal" we inevitably assert all individual men also (taken in denotation) as related to either mortality or mortal beings. How, now, are all individual men apprehended here? We do not apprehend every man with his particular features, we apprehend him as only a case of the universal humanity. Individual men are, in other words, known *through our knowledge of that universal*. This need not be the *sāmānyalakṣaṇapratyakṣa* of the Naiyayikas. We may not perceive all individual men. Still somehow in the universal judgment we speak about all individual men, and this is possible if only we apprehend all men through our knowledge of the universal humanity. A subjective experiment is thus involved, and the experiment is embodied in the form "all". "All X's" cannot be a purely realistic fact. The Russellian idea of such "all" as an open class is unacceptable. In the judgment "All men are mortal" we do not mean that A, B, C, D,……..*and so on* are mortal. There is no sense of privation here. It does not mean that the men whom you and I have seen *and those whom we have not seen* are mortal. This would be unduly apologetic. What is *positively* meant is that all individual men are mortal. We mean, in other words, a closed class, as much closed and positive as any group of enumerable things, the only difference between the two being that while the number in the latter is finite

that in the former is infinite (not negative infinite, but positive). Russell could at all interpret "all" in his way because he was predisposed to denying the connotative universal. His interpretation would have been legitimate were he able to account for the total meaning of "all" without having recourse to the connotative universal. But in the interest of economy he sacrificed at least an important part of the total meaning. We mean by "all" a positively infinite number of individuals. Such an "all" is not an absurdity as a Russellian would have us believe. A closed class of a positively infinite number of individuals is intelligible if understood through (the presupposed knowledge of) the corresponding connotative universal. Whether or not that connotative universal is itself also meant by "all" is not the point here. It is enough that at least the positively infinite number of individuals are meant.

Likewise the simple categorical form "this S is P" cannot also be taken as real in the realistic sense. In such judgments the predicate as almost always universal is to be understood, in the way of a universal subject, as somehow referring to all individuals, and therefore through a corresponding universal. Where the predicate is not a universal, or supposing that a universal need not be understood in denotation, there is still another reason—and that is more primary— why the form "this S is P" cannot be real in the realistic sense. The relation meant by the copula "is" embodies a subjective experiment, though only covertly. The relation meant is neither inherence nor contact nor any that is a *padārtha* in the Nyāya-Vaiśeṣika sense. It is one that relates S, P and that *padārtha*-relation into a unitary object, and is, therefore a *vikalpa*. This *vikalpa* is not consciously felt as experiment. But it must be one such. We have already proved that every vikalpa is knowledge-wise, though not for that reason merely subjective. This knowledgewise-ness is no other than the fact that a mode of knowledge is embodied in the content. Over and above S, P and the *padārtha*-relation a second relation which as unifying the three has to be admitted cannot be real in the realistic sense.[1]

C. *Some clarifications—*

There are two questions which should be answered at this stage. It may be asked if this relation also does not require another relation, and so on ad

infinitum. It may also be asked if the original *padārtha*-relation does at all require the second relation.

To the first question the reply is in the negative. The second relation was required only to relate into a unity three items of reality one of which happened to be a relation. Before that unification there were only three items. But now that they stand unified through the second relation which is a *vikalpa*, there is no task left to relate this second relation again to the three items by further relations.

The reply to the second question is in the affirmative. The first original relation was not sufficient to have formed the unity that is meant by the judgment "This S is P". Often it is no genuine relation, but only a quality or even a substantive—indeed, anything whatever—which is somehow taken as intermediate between S and P. As such it cannot by itself relate S and P and (itself also) into a unity. When a so-called relation is a reality of this kind another relation which is genuinely a relation is requisitioned to do that work. But whatever else there is in the world of reals, this genuine relation is not there till that S, P and the so-called relation stand unified in knowledge. "Unified in knowledge", we repeat, does not preclude the possibility that they stand unified in the world of reals also. The unsophisticated mind takes them as also forming a real unity, for such is the plain realistic import of the judgment.

The fact that S, P and their so-called relation are unified in knowledge and that yet the unity formed is real may be understood in three ways of which one only is tenable. It may mean that S, P and the so-called relation only *appear* to be really related. Secondly, it may mean that they had been standing as already really related before I had the *savikalpa* knowledge, but that this real unity comes to be revealed only with that savikalpa knowledge, almost in the same way in which Vaiśeṣika understands *sāmānya*. Or, thirdly, it may mean that they were not standing as really unified, but become related and unified just when I know them in the *savikalpa* way. Of these, the first alternative is rejected on the plain ground .that no appearance can be dismissed as mere appearance or false unless there is a reason, and no such reason is forthcoming here. So long as there is nothing to the contrary a situation is really as it appears. It cannot be argued that there is a reason here for the dismissal, viz., that the genuine vikalpa relation has come to be known as a mode of *knowledge*. For we cannot

overlook the other side, *viz.*, that it is also asserted as real. To show merely that something is A does not prove that its appearance as B is unreal. For that another step is necessary. Either we must point to a clear defect (*doṣa*)[1] in that appearance or at least its being A is to be a matter of inference, it being presumed for the present that inference is a stronger *pramāṇa* than perception. But here the *vikalpa* relation to be a mode of knowledge is not a matter of inference. It is true the knowledgewise-ness of the *vikalpa* relation is not always evident; but for one who has perceived that *because-therefore, either-or, if-then, A as not B and all A* are knowledge-wise it is not difficult to perceive that even the simple categorical form is also a mode of knowledge, particularly when it is realised that S, P and their so-called relation cannot unify themselves. Knowledgewise-ness of the categorical form does not merely follow from the impossiblity of unification, it comes also to be immediately realised. There is, again, no specifiable defect in our awareness (which is quite primary) that the genuine relation is fact. Hence the dimissal of it as sheer appearance or false would be unjustified.

Even if the knowledgewise-ness of the categorical *vikalpa* were merely a matter of inference, there is no reason why inference here should be preferred to the immediate knowledge that the *vikalpa* is real. Inference is preferred to immediate knowledge either when it not merely contradicts but definitely sublates (why, we may not say) the content of immediate knowledge, or when it is followed by the perception of a defect in that immediate knowledge, or when our point of view is that of *prāmāṇya*, not of primary assertion which is present as much in inference as in perception. In the present case the inferred knowledgewise-ness of the *vikalpa* does nothing of the sort, and the point of view is *ex-hypothesi* not of *prāmāṇya*.

Inference is sometimes regarded as a stronger *pramāṇa* on the ground that it is supported by many cognitions that are involved in it. But the point of view of corroboration is that of *prāmāṇya*, not of primary assertion. The *prāmāṇya* of a cognition may be extrinsic to that cognition as primary assertion, in which case it is doubtful if *prāmāṇya* has any metaphysical import.[1] Or it may be intrinsic in which case the entire problem of *prāmāṇya* is a little more than explication. Either way the attitude of *prāmāṇya* is not very relevant to primary assertion. It would be useless to argue that when a cognition is confirmed from the point of view of *prāmāṇya* chances of its possible rejection are eliminated. Mere elimination

of possible errors does not make a cognition valid unless it were already so taken, though amidst a mass of confusions.[2]

A particular cognition can also be dismissed as erroneous if it is succeeded by one which is its contradictory, the idea being that a cognition is the assertion of a genuine reality till it comes to be contradicted, and that the later contradictory cognition has not yet been contradicted. *Uttarajñānapkṣapāta* belongs, in this sense, to the very constitution of knowledge. But in the present case there is a strange phenomenon. The knowledge that the *vikalpa* relation is a mode of knowledge may be later than the assertion of that relation as real, yet when that later knowledge occurs the prior one is not sublated. Both continue with unabated primacy.

The reality of this relation, then, cannot be false or sheer appearance.

The second alternative mentioned in page 36 above, *viz.*, that S, P and their so-oalled relation had already formed a unity and is only revealed in *savikalpajñãna*, has also to be rejected. The unity could not have been formed by the so-called relation, and a fresh relation which alone could form it could not have been there before the *savikalpajñāna*, because, as already shown, it is knowledge-wise. It has also been shown that the simple categorical form, quite as much as other forms of proposition, embody subjective experiment.

Hence the third alternative alone is left. The *vikalpa* relation and the unity occur as real only when S, P and their so-called relation are known in the *savikalpa* way. This does not mean that the *savikalpajñāna* as an efficient cause has produced something in the reals concerned. What is meant is that the propositional form, though knowledge-wise, comes to be asserted as involved in those reals. Though knowledge-wise, it comes to bo asserted as real also; and as this is not self-contradictory, it can be taken as really real.[1]

But is not a real independent of the knowledge of it, and does this not imply that it existed before that knowledge occurred? If something appears real only so long as it is known, is it not for that very reason called unreal?

The answer depends on what is meant by the word "reality". If it means 'that which exists and is independent of the knowledge of it', the *vikalpa* relation and the unity are real, because even though they are constituted by

knowledge they are yet asserted as existent and independent of knowledge, and we have seen how to be constituted by knowledge does not clash with this other character. It follows that to have remained prior to knowledge is not necessary for something to be real. Many reals may be so prior, but some need not be.[2]

Or, it may be said that the *vikalpa* and the unity had remained prior to knowledge, but as so prior they were not *existent*. Like subsistent values they had only been *demanding* existence, but were not actually existent. They come to exist only when they are known. As subsistent, *vikalpa* relations remain in their self-contained aloofness, and relate S, P and their so-called relation only when these latter come to be known, and through that knowledge. It is because they yet maintain their Platonic ideality that they refuse to be wholly identified with that knowledge and proclaim themselves as prior to that knowledge; and it is because they now stand as relating, and therefore adjectival to, the actually real S, P and their so-called relation that they in that function come to be known as actually existent. This is more or less the Kantian view of *vikalpas*. Whichever interpretation is accepted we have to admit grades of metaphysical status. In the first interpretation there would be two kinds of reality, one co-tomporal with knowledge and the other transcending its duration; and as this distinction concerns the very existence, not the content, it is a distinction of metaphysical status. The distinction between subsistence (*demand* for existence) and actual existence is obviously a distinction of metaphysical status.[3]

D. *An aspect of Logical Positivism examined*

The Indian position has been vindicated. It has been shown that over and above reality, though not necessarily separate from it, object has to be admitted. This has been established through an analysis of the metaphysical import of thought-forms. The only conceivable way to get rid of this intermediate entity would be to deny that forms of thought have any metaphysical import. Logical Positivists have attempted this in their systematic campaign against thought. They consider forms of thought as *either* only means to analytical interpretation, the Whole interpretation

being only linguistic, *or* vicarious, misrepresenting a olever language-construction as pointing to a reality.

But it is difficult to see why thought should be so unceremoniously guillotined. Mass hysteria is no logical justification. These Positivists ought to have seen that no judgment, not even the simple categorical, is either a mere analytical representation of a non-judgmental content—what to speak of non-perceptual judgments which are obviously not so?—or, because of the extra element involved in it, vicarious, for we all believe that the total content of the judgment is real exactly in the form in which it appears in the judgment. We have already seen that in spite of being knowledge-wise the extra element is nevertheless felt as real and that the two aspects do not ,clash. These Positivists have never explained why among the devils of judgment some, *viz.*, a good number of perceptual judgments, are obedient slaves. We can understand Kant who has excluded a very limited number of judgments, and that on definite grounds. But these Positivists have started with a bias. They have indeed shown extra-ordinary skill in translating non-perceptual judgments into the language of simple perception. But translation always falls short of the original: the original vitality is always missed and there is only vicarious compensation.

Perceptual judgments do not merely analytically represent contents of simple perception. In simple perception there is a bare plurality of S, P and a so-called relation between them, all appearing either discrete or non-distinguished. But the judgment "This S is P" means that S and P, and sometimes their so-called relation also, are distinguished and yet related into a unity.

We have said that in simple perception S, P and their so-called relation are either discrete or non-distinguished. The former is the Nyāya-Vaiśeṣika view according to which simple perception (*nirvikalpa-pratyakṣa*) is certified not by introspection but by inference, and the simple elements that are inferred as constituting a substantive-adjective complex perceived have to be inferred as discrete. But one is not compelled to accept the Nyāya-Vaiśeṣika view that simple perception has only to be inferred. One might hold that it is an introspectable stage. In this other view the simple constituents are not found as discrete, but in a sense non-distinguished. Let us explain, how.

If there is any psychological stage, called non-judgmental perception, it is of the form SP (this blue pot—*nīlaghaṭaḥ*) which differs from "this S is P" in that while in the latter S and P are both distinguished and related, the relation standing as a distinct entity, we do not find this phenomenon in the simple SP. Not that SP is therefore an amorphous homogeneity, as Bradley would have it. If there is at all a psychological stage having the simple content SP, we are aware, at that very stage, of S and P also, the three contents—S, P and SP— alternating indeterminately, each, at the time it is apprehended, standing as absolute. When we are aware of S there is no question of either P or SP, and similarly with P; and when we are aware of SP it is not apprehended as the unity of S and P, but as much an absolute entity as that S or P. A whole, in simple perception, is never known as a whole *of parts*. For that apprehension the parts and the whole require to be related in a judgmental form of awareness. The very words "part" and "whole" are relevant in a judgment context only. If A, B and C are three absolute entities, C is a whole, and A and B are parts, *only when* between C, on the one hand, and A and B, on the other, a certain relation of dependence is asserted, when, *e.g.*, it is known that while A and B are dissociable from C, C is not so dissociable from A and B; and such knowledge cannot bo simple perception. Similarly with regard to any other unity. A universal or a substance, *e.g.*, is felt as dissociable from the relevant particulars or attributes, but not the latter from the former. In simple perception, then, S, P and SP are each absolute, and there is no question of a relation between them. But in the judgment "This S is P" S and P (and it may be, their so-called relation also) are related in a specifiable way in the unity SP. The indeterminate alternation of several absolutes is thus, in simple categorical judgment, replaced by determinate relation.

In simple perception S, P and SP are each absolute. SP is not a unity, but as much an absolute entity as S or P. It may indeed be asked—Do not S and P stand involved in SP? How otherwise could it be known as SP? The reply is that in simple perception it is not known as SP, but merely as an absolute entity with a differential quality perceived. It is only retrospectively called SP, called that way from the point of view of the latter *judgment* "S is P." But, it may be asked again, is not that SP known, at least in this retrospective manner, as identical with the unity known in the judgment "S is P"? We reply—Yes, there is only as much unity as between object and reality.

We thus find that even simple perception is not so simple as Logical Positivists believe. It too involves an extra element, the as yet undefined differential quality. The logical form of the simple categorical judgment may be understood as linguistic definition of this quality. But it is not like definitions elsewhere. In other cases of definitions there is no line, except in the verbal presentation, between the definitum and the definition. Here there is such a line. Yet, however, the linguistic form is asserted as real without any sense of inconsistency. We have also seen that there is no contradiction in a thought (language)-construction here being real.[1]

E. *Concept of relation reviewed*

It may be asked—if in the world of reals there are inherence (*samavāya*), contact (*saṇyoga*), *etc.*, are they not genuine relations relating S and P into a unity, even apart from my knowing them?

The answer should be prefaced by a more fundamental problem to be raised here and solved. If at a non-judgmental stage we can at all apprehend[1] S, P and SP which are real, is there at that stage any *object* over and above those reals? The problem, in other words, is if even in non-judgmental perception there is the intermediate entity called *object*?

We reply—There is. If the reals here are S, P and SP, the object is *these in indeterminate alternation*. In *savikalpajñāna* there are definite *vikalpa* relations binding reals into unities, but here in the place of those definite *vikalpas* there is only indeterminate alternation, and therefore also an indeterminate unity through that alternation. The unity that is effected by alternation is always indeterminate, as is evident in the case of disjunctive judgment. Here, however, in the present case, the alternation itself is indeterminate, and hence the unity effected is unlike one in disjunctive judgment. The unity here is not judgmental: the stage in question is below even simple categorical judgment. But there is still a unity, though at the vanishing point; and the vanishing unity is here the object. The object here is more coincident with reals than in *savikalpajñāna*. The object and the real here are not *definitely* distinguishable.

It may still be asked if even at this stage the real SP is not apprehended as different from S and P, and, if so, whether the distinction can be anything

but that this SP is a unity of S and P. The unity may be indeterminate, but is it not a unity still? If so, has not the unity been effected by some elements in the region. of reals, *viz.*, inherence, contact, *etc.*? A But, again, if such unification through inherence, contact, *etc.*, is possible, why was it said before that these are only *so-called* relations, not relations that unify and, therefore, relate reals? With this we come to the question asked at the beginning of this sub-section.

The answer is that indeterminate unity is qualitatively different from one that is determinate. Indeterminate unity of S and P is little more than their alternation, as we find even in disjunction. When, again, the alternation itself is indeterminate, even SP which is the indeterminate unity of S and P alternates with that S and P. This latter means that though the difference between SP, on the one hand, and S and P, on the other, is now a little more defined the situation still remains indefinite. Indeterminate unity at the non-judgmental level, then, means either that S and P are only alternating with one another or that SP comes to stand with just a differential quality, not further defined. Even where S and P merely alternate they stand each with a differential quality, and the quality is such that though it distinguishes S-with-that-emergent-quality from simple S, and P-with-that-emergent-quality from simple P, it is apprehended as somehow also the *same* in both. This vague sameness or identity of the differential quality, as appearing to transcend,on account of this identity, S and P comes to be represented as some sort of unity in the vague form of SP even here.

The unities effected by inherence and contact, and the latter as relations, are to be understood in this light. When S and P in *contact* effect SP what is apprehended at the non-judgmental level is (i) that S and P have each a differential quality which is, only retrospectively from the point of view of a later *savikalpajñāna*, represented as S-in-contact-with-P or P-in-contact-with-S, and (ii) that somehow the contact is also felt as numerically one and the same, so that we also say that S and P *are in contact*, the result being SP. The selfidentical contact as standing between S and P is never apprehended as an explicit definite real, what is explicitly felt being only the indeterminate alternation of S-with-that-differential-quality and P-with-that-differential-quality. That this indeterminate alternation is at all felt, however vaguely, as the self-identical contact between S and P is no more than an incipient interpretation of the alternation in terms of *savikalpajñāna*

(judgment). Judgment is so much a normal mode of knowing that even when we are aware that there is a nonjudgmental mode, we, in spite of all caution, involuntarily smuggle its form, though now in disguise, into the non-judgmental content. Contact is really a differential quality of each term, the contact of P with S being different from and alternating with the contact of S with P. Indian thinkers have always taken contact as qualities of S and P alternating.

Contact includes a host of relations. Parts of a whole, *e.g.*, are in contact with one another: the spatial relation of the parts with one another is, in other words, nothing but a form of contact[1]. The spatial relations of up-down, right-left, *etc.*, are in many cases forms of contact, with, of course, additional differential qualities at the level of non-judgmental perception. The additional differential quality is only retrospectively definable in terms of *dik*. Often, again, this differential quality alone is found, when, *e.g.*, S and P are not in contact. As with spatial relations, so with corresponding temporal relations. Often, again, the contact is with the very principles of space and time. Into further niceties wo need not enter.

A host of other relations are represented by *inherence*. The relation, *e.g.*, between a whole and a part, a universal and a particular, a quality and a substance, is inherence. But at the non-judgmental level it is not apprehended as a definite relation relating S and P. At that level it is only a differential quality of SP. SP no doubt alternates with S and P, but stands evident with that differential quality. The differential quality is only retrospectively specifiable as the fact that from the total situation SP either S or P is dissociable and the other not. At the non-judgmental level there is only a vague sense of this dissociability. A whole or a universal or a substance is only vaguely felt as dissociable from the total situation, and the parts, particulars or qualities are vaguely felt as undissociable. The total situation SP is felt with this differential quality.[1]

Some Western thinkers and the Buddhists have missed the differential quality corresponding to what is called inherence and have accordingly denied the reality of the whole, the universal and the substance. Some of them have committed a further mistake of missing the reality-aspect of *vikalpa* relations, and this has led them to deny all reality to relations and unities. But, as is evident now, both these are exaggeration. The Buddhist position will be examined later.

F. *Object-reality distinction evident in correction of illusion*

The distinction between object and the real will also be evident from an analysis of illusion as corrected. Before correction the content of illusion is felt as real object. But after correction it stands as an object *minus* the reality-aspect, so that to the end it is still an object, though of a peculiar type, unconnected, or better, disconnected, with reality. This disconnection is not a normal feature of objects. But the illusory content is an abornal object, and because illusion is cancelled we are forced to admit such disconnection.

Some believe that the corrected content as over and above reality is no object but subjective. Vijñānavādi Buddhists in India and many thinkers in the West have held this view. The Vijñānavādin's view will be examined later. They have offered arguments, and these will be examined in due course. But the Western thinkers who have passed this as almost self-evident have only confused different issues. That appearance is distinct from reality is one issue, and whether what is distinct from reality is subjective or not is another issue. The distinctness of appearance from reality is no sufficient reason that it is subjective. Further, these Western thinkers have misunderstood object as wholly identified with the real, and have naturally been driven to the conclusion that what is not real is, on that very account, not object, and is therefore subjective. But we have seen that object is neither unqualifiedly real nor unqualifiedly subjective (knowledge-wise).

There is another point to be considered in connection with the thesis that in correction of illusion we realise object as over and above reality. The object here is not necessarily the content of *savikatpa-pratyakṣa*. It includes the content of *nirvikalpa-pratyakṣa* as well, supposing there is such a stage evident to introspection. The thesis, in effect, means that though in normal perception[2]— judgmental or non-judgmental—object, in spite of being knowledge-wise, is found coincident with the real, it is apprehended as loosened when a perception comes to be corrected. We have seen that in non-perceptual knowledge *vikalpas* and, therefore, objects are clearly felt as knowledge-wise (experimental), though not for that reason denied reality. But this knowledgewise-ness, we have also seen, is not so manifest in

savikalpa-perception, far less in nirvikalpa; object in these two cases is not clearly felt as distinct from the real. Our present thesis is that the distinction of the perceptual object—a determinate unity or an indeterminate whole—from the real stands exposed in correction. By implication it is admitted that even non-judgmental simple perception (*nirvikalpa-pratyakṣa*) can be erroeous.

We are often told, particularly by Western thinkers, that in non-judgmental simple perception there is no question of falsity, all question of truth or falsity arising only when knowledge is judgmental (*savikalpa*). This is untenable. If the content of non-judgmental perception be S, P and SP alternating, with a differential quality of either S and P or SP, there is no reason why this content should not be as much true or false as the content of judgment: all the difference between the two kinds of knowledge is that while in the latter there is explicit relation there is only a differential quality (or qualities) in the former. There is a kind of vague predication (unification), in the form of differential quality, in non-judgmental perception also. Further, it is difficult to see why truth or falsity should concern predication only. May not a simple content, not known as related with another be true or false? When it is apprehended is it not asserted as real, and may not such assertion come in certain cases to be sublated later?

The whole question as to whether the content of non-judgmental perception can or cannot be true or false depends on what is meant by the word "truth" or "falsity". If "truth" means that the content of knowledge *exists*, there is truth claim in non-judgmental perception, for it too is asserted, *i.e.*, taken as existent. Similarly if "falsity" means that the once-asserted existence of the content is now disbelieved—disbelief being not necessarily judgmental, but at least in some cases the awareness of a differential quality of the content—there is nothing against a non-judgmental cognition being false.

An analysis of the very concept of judgmental rejection would corroborate this. Judgmental rejection=rejective judgment may be perceptive or nonperceptive—in Indian terminology, *savikalpa-pratyakṣa* and *savikalpaparokṣajñāna*. Where it is perceptive there is in the content *perceived* a differential qulity corresponding to the *vikālpa* relation of contradiction, over and above that contradiction itself. It is only when the rejective judgment is non-perceptive (*parokṣa*) that there is no question of

that differential quality, and rejection in such cases is either through a categorical or hypothetical inference or through testimony. Thus even perceptual rejective *judgment* is intelligible through a perceived differential quality, corresponding to the relation of contradiction, in the content rejected (though there is in the content the explicit relation of contradiction also). If so, the differential quality is, at least in some cases, a sufficient ground for the rejection of the content. Why, then, may not the content of non-judgmental cognition be also rejected, when in it too a similar differential quality comes to be perceived?

Truth, however, and therefore falsity also, may mean something else. Truth may mean that the existence of the content is *explicitly* asserted, as in the judgment "SP *exists*", and such assertion is always the *confirmation* of a prior knowledge of the content. Truth, in this sense, is but the confirmedness of that prior cognition, so that the existence of the content has come to be specifically pointed to. Falsity would, from this point of view, be the *untenability* of the prior cognition and, therefore, the explicit rejection of the content. This is the problem of *prāmāṇya* in Indian philosophy, not always clearly distinguished in the West from the simple assertion of the existence or non-existence of a content.

If truth and falsity are understood from this reflective point of view it would be admissible indeed that only judgments can be true or false. But there should be a note of caution at the same time that this is not true of all judgments, so that judgmentality is no *sine qua non* of truth and falsity. Existential judgments and judgments of modality alone can be true or false —judgments, namely, where existence or its near equivalent is stated as the explicit predioate. In other judgments there is no such explicit statement. In the judgment 'S is P,' for example, the copula 'is' represents more an explicit *vikalpa* relation than explicit existence of the content SP. That it appears to stand equally for both is an accident of English language. In Sanskrit we find that '*ghaṭo nīlḥ*), is a sufficient expression, and the statement '*ghaṭo nīlo* bhavati' is not required. There is logical ground also. Even in English language the existential import can be explicitly distinguished, as in the judgment 'SP *exists*'; and it is plain logic that if something can be distinguished it, where not distinguished, remains implicit and subordinate. The copula in 'S is P' thus only implicitly and

subordinately conveys the existence of SP. Obvertly it represents a relation only between S and P.

If it be insisted that after all the existential import is still present, though not explicitly, in the judgment 'S is P,' we reply that it is equally present in non-judgmental perception also. As much in the latter as in the former the total content is known as existent. It has sometimes been urged that even judgments like 'S is P,' as distinguished from the non-judgmental awareness of SP, is against a doubt or challenge that S might not be P, so that as so against the doubt or the challenge it is more reflective than the non-judgmental awareness of SP and, therefore, asserts so far the existence of the content explicitly. But this would be a wrong understanding of the actual situation. 'S is P' is certainly more reflective than SP, and perhaps non-judgmental awareness is not reflective at all. But the reflectiveness of the former does not lie in its being against a doubt or challenge. Here there is neither an actual nor a possible doubt (or challenge). That there is no actual doubt can hardly be questioned. There is no possible doubt too; for a possible one is no more than that which I in judging that way only anticipate, and it is a fact that I did not anticipate one. Had I anticipated, the judgment would have been of the form 'S is P,' with an emphasis on the existential import; and such judgments would be hardly distinguishable from the existential, The simple judgment 'S is P' is reflective in the sense that it is against the background of a half-distinguished *assumption* of the abstract content 'S as P.' This 'S as P' as half-distinguished is no other than the unity-through-*vikalpa*-relation considered apart from its reality aspect.

Sometimes, again, a third reason is offered why only judgment, and not non-judgmental awareness, can be true or false. It is said that as only judgment involves a sort of spontaneity, either because *vikalpa* relations are considered as *acts* or because a constructed general idea is appended to the subject, the question of the truth of the judgmental knowledge naturally crops up. But this, again, is both a too simple and a uselessly complicated account. Too simple, because whether *vikalpas* be acts or not, and whether a general idea be a construction or not, there is also the undeniable fact that every judgment asserts the reality of the total content. To foreget this aspect and to insist on the *vikalpa* relations being subjective would be over-simplification. There is also unnecessary complication in that the *vikalpas* are taken as *acts* or, even by some, as forms of will, and general ideas are

taken as mere constructions, whereas the peculiar character of judgment is intelligible even in the absence of any such theory.

So there is no reason why judgments alone should be true or false, and nonjudgmental knowledge outside this disinction. Both equally are true or false, if 'truth' means that the content is known as existent, and 'falsity' that it is rejected. Only when truth is understood as the confirmedness of a cognition as against an actual or a possible challenge, and falsity as the corresponding rejection, can ordinary judgments and non-judgmental knowledge be taken as outside the distinction of truth and falsity. But as here we are not using the words 'truth' and 'falsity' in that sense we hold that all cognition can be true or false.

With this we come back to the problem of the exact status of the illusory content, whether in judgment or in non-judgmental knowledge.

G. *Buddhist theory of ātmakhyāti examined*

Before an illusion is corrected the total content is taken as a real object. But after correction it is known as definitely not real and, therefore, to have been an object *minus* the reality-aspect. This is what is meant by *rejection* of the illusory content. It would be too much to claim, as some Buddhists have done, that even its objectivity is rejected. If they intend that both objectivity and reality are denied this would be unnecessary duplication. Rejection of any one of the two aspects is enough; so the other aspect has to be retained. It is enough for correction that the reality-aspect is rejected; hence objectivity ought to be retained. But why may it not be interpreted the other way about? May it not be said that the aspect of objectivity is rejected and the reality-aspect retained? The Buddhists under consideration have, as a matter of fact, offered this interpretation. But this would only make the confusion worse confounded. If the content is real and yet not an object, it would be real as only a mode of knowledge. But does the corrective judgment assert this *subjective reality*? Do we find that the illusory snake was not an object but an existent subjective idea[1]?

Correction is either judgmental or non-judgmental. When judgmental, it is of the form 'this is not snake' coupled in a mysterious manner with another form, viz., 'this is rope'. The content 'this as not snake' is a unity,

effected through a *vikalpa* relation, of a real this and either a real snake (when the vikalpa relation is negative) or the absence of snake. The content 'this as rope' is also a real unity of a real *this* and a real rope. In either ease there is no escape from the *this*-element which is no subjective idea.

The Buddhists in question have held that the content of correction[2] is 'not this, but snake'. But even if this be allowed there is the other content 'this is rope' inseparably connected with it. In that other content *this*-element is asserted as existent, and it is also evident that this *this* is somehow non-different from the *this* in 'not this, but snake'. It is impossible that in the same correction the same *this* is both assorted as existent and rejected. That in the content 'this is rope' it is assarted as existent is beyond question. It follows that 'not this, but snake' is a mis-representation of the other content. That other content is either 'this, not snake' or 'this and snake, but no predicational identity of the two' or 'this and snake, but the two not consciously distinguished', *etc.*, all of which are representable as 'this is not snake'. The Buddhist theory of *ātmakhyāti* cannot pass unchallenged.

Even if we allow the form 'not this, but snake', it does not follow that the snake-aspect is subjective. That would presuppose that 'this' means *to be now outside me*. But 'this' does not mean that. Even an *idea* which no one can call outside is a *this* to me if it is now. Tho concept 'this' is highly intriguing and involves either *now* or *here* which are equally intriguing. To interpret it as 'to be now outside me' would only be too facile.

The Vijñānavādin may argue that *snake* would still be subjective even if the content of correction were 'this, not snake'. 'Not snake' means that the snake is rejected, and the rejected snake as ousted, on the one hand, from the world of reals and as yet not zero, on the other hand, cannot but be subjective. But this too would be a hasty conclusion. In spite of being false, the snake appeared as object. A theory of error which can retain this objectivity is to be preferred to one which denies it too easily; and considering what has been said so far about the distinction of object from reality, the presumption is against the idealistic theory of the Buddhists.

Correction may also be non-judgmental. But even there, as in all nonjudgmental knowledge, the content is a presented rope with the peculiar flavour of a denied presented snake, or an absent snake with the preculiar flavour of its having been nevertheless presented, or a once-presented snake

with the flavour of its being ousted by a now-presented rope, the once-presentedness of the snake being, of course, no more than a fringe round the flavour of being ousted. Whichever way the content appears, there is no scope for the particular Buddhist theory, In every case the content is presented as an *object*.

The rejected snake can in no way be taken as subjectively real. Indeed the phrase 'subjectively real' is often a camouflage. In what sense is a subjective idea real? Is it real in the sense of being independent of its knowledge, or is it real in the sense of being just existent?

The Buddhists under consideration hold that in correction the outsideness only of the content is denied, and its reality is retained. But is the subjective reality of the snake its original pre-correction reality? The pre-correction reality of the snake included its having been independent of the knowledge of it, whatever else it might have included. But at least that independence is now denied by these Buddhists. The subjective snake is then real in some other sense.

The reality of subjectivity is qualitatively different from that of a nonsubjective content. While the reality of a non-subjective content is distinguishable from that content this is not the case, at least according to the Buddhists in question, with the subjective. The subjective, at least according to them, is self-evident: to be subjective is *ipso-facto* to be real. In 'this flower exists' existence can be imagined as dissociable, as at least a universal *belonging to* this flower, or even as what may lapse. But in 'I am' am-ness is the same thing as I-ness. I=I am. Contrariwise, the *content* of the non-subjective is imaginable apart from existence (or non-existence), but not so the content of the subjective. If the subjective can at all be imagined apart from existence, there is no conceivable way of adding that existence ever to the content. The subjective is either ever a mere content or ever with existence. Whichever way it is understood, it is evident that the reality of the subjective, if at all it is real, is qualitatively different from that of the non-subjective. To say, therefore, that the snake is subjectively real is little more than saying that it is just subjective. The reality with which we contrast the false is the reality of the non-subjective. And yet these Buddhists persuade themselves that in correction the reality of the snake has been retained, as though it is the same reality which we had before correction.

It is true that there is a natural tendency to take what is not real (in the realistic sense) as. merely my imagination and, so far, subjective. But there is no assurance till now that the image, though subjective, does not stand outside. The false snake, detected as false, may have been a subjective image. But I saw it outside, and it is not yet certain whether this outsideness came to be cancelled. It might well be that its reality (existence) alone is cancelled, the snake being understood as a ghostly outside entity, a floating adjective, as it were, of the rope that is real. An image to stand outside is not *prima facie* absurd. In every normal perception where the content is presentative-representative the representative element, though imaginal, stands outside, tied to what is merely presented. If this be allowed, why may not an image, in illusion, stand outside, though unconnected or misconnected with what is presented? That which in normal perception made the image an outside content is not the correctness of the perception, but only there being to that perception a presented content. In illusion too there is a presented content, and so there is no reason why it cannot be outside. The presented content is not, it is true, evident in its full character. But there is no denying the fact that there is a presented content. The represented content, again, is not a real adjective of the presented element. Nevertheless it is an adjective, though false, false in the sense of being really unconnected or misconnected. Alike in normal perception and illusion the image-element is outside. Imagination may be directed to a past thing or a given presentation, or to no thing whatever. When directed to a past thing, the insideness of the image is more evident than its outsideness. The *thing* no doubt is remembered, but as imagination has added nothing to the thing-as-it-was-perceived no special outsideness of the image is evident. What is evident on the other hand is that there are new laws, relations and characteristics of the imagination. As directed to a given presentation, however, the outsideness alone of the image is evident: the image stands tied, it is said, to the presentation. The insideness of the image here has only to be inferred, and it remains ever doubtful if here the dispositions have matured at all into a subjective image. The same thing occurs in illusion; Only, here the image is freely or wrongly associated with the given presentation. Where, lastly, the image is not directed to anything—past or present—it is ever on the" vanishing point and is kept steady, even as so vanishing, by words. In this case—we may call it idea, as distinct from the two previous types of image— it stands evident as merely inside. The

outsideness of the image is complete in the- second case only. The complete outsideness in the second case and the much less outsideness in the first are equally due to the reference of the imagination to real things outside. The Buddhists under consideration have been deluded by the theoretical insideness of the image. They have not seen that except in the third pase above there is also its outsideness, evident in its fulness as much in perception as presentative-representative as in illusion.

The idealistic account of the false content is thus untenable. The false content has to be taken as non-subjective, t.e., an object, though it may not be a real object. All other Indian theories of error and the modern realistic theories of Alexander and other realists agree in this point.

In spite of this general agreement, however, they differ in some fundamentals, each having understood the concepts of object, reality and their relation in a different way. These theories should be examined separately.

H. *Some modern realistic theories of error examined*

Some modern realists believe that an object as such is neither real nor unreal and that the reality of a normal object and the unreality of one called illusory are equally unmetaphysical, being only contingent derivative characters.

But this is over-simplication in various ways. Let us see, how.

(1) An object that is rejected may be provisionally granted as subsisting on its own account and having unreality as a contingent derivative character. But the object of a normal cognition[1] is never felt as subsiting aloof from reality. It is felt from the beginning to the end as absolutely coincident with the real—in other words, as unqualifiedly real. It is only where there is no assertion, where a content is *merely entertained* that one may say it subsists. But such content is in the face of it an abstraction, and actually felt that way. Even doubt, question and suggestion are more or less assertive. In doubt and question there is still assertion, though it is either midway between or alternation of affirmation and denial, or the assertion

here is vague and incomplete. It cannot be said that in doubt and question there is neither affirmation nor denial. Suggestion also is not without all assertion. Suggestion is the mere entertainment of a content-as-asserted. In all other types of cognition, except in error corrected, there is unambiguous affirmation or denial, though in the affirmation of one content there may remain involved (and subordinated) the denial of another content, and *vice versa*. In such cases the content is not felt as dissociated from reality. It would be useless to argue that the fact that the same content can be asserted, suggested, questioned, doubted, merely entertained or even rejected is enough to make one feel that it is at least dissociable, if not dissociate, from reality. The content that is simply entertained is abstract and symbolic, but a content asserted is felt neither as that abstract one *plus* its assertedness nor as symbolic *plus* something else. No concrete can be broken up adequately into (several abstract features or) an abstract feature *and* a dark solid base. A cow is not analysable into cowhood and an indenifite solid base; that base is itself also a particular *cow*. Had not the base had a definite *svarūpa* the universal cowhood could not be connected with it to the preference of any other particular, say, one to which doghood or horsehood belongs. The content asserted is, again, real, and no reality is constituted by a bare symbolic possibility *and* something else. Possibility may at the most be the essence of the real, but even then the real is, a *modification* of that possiblity, so that between a real and a corresponding possible there is nothing that is explicitly common. If Y be a modification of X, it is X in another form, not X *and* another form, far less, therefore X and a dark ground. The relation of an asserted content C to a C that is merely entertained is true *mutadis mutandis* of its relation to C's that are doubted, questioned and suggested. To all these attitudes there is never the self-same content except in name, and even that *name* C is not the content of simple entertainment. Only the content of correction is absolutely the same as what was asserted. But of that later.

The realists under consideration might still argue that as we ourselves have shown through all these pages that object is different from the real we ought not to take exception to their view. Should not object as distinct from the real be taken as neither existent nor non-existent[1]?

We reply, we hold *also* that object is yet felt as coincident with the real, *i.e.*, as itself the real. We have also shown that there is no reason why one of

these two apprehensions is to be preferred and the other rejected. To have preferred their distinction to the extent of rejecting their identity has been the over-simplification No. I of which these realists are guilty[2]. There are other acts of over-simplification also.

(2) They have understood the illusory content too hastily. True, when error is corrected we come to doubt if the content was definitely either existent or nonexistent. But this 'not definitely either existent or non-existent' does not; amount to 'neither existent nor non-existent'.

There is no evidence yet, nor even a reasonable suggestion, that it was definitely neither. The only case where there is definite absence of either is simple? entertainment where the content is admittedly abstract; but the content of error, even after correction, does not appear to be abstract. No one feels that the content of error should be taken as having been merely supposed or simply entertained. It need not be denied that the content is not felt as definitely either existent or non-existent, but that does not mean that it is definitely neither. It is, still *asserted*, though neither as existent nor as non-existent.

The content corrected is still asserted in the sense that it is known as a sort of appearance *of the real* that is discovered in correction. After correction it is not felt as floating in the air. It is felt even then as somehow tagged to the real, not a self-subsistent content having nothing to do with the real. The question of unreality of that content at all arises only because there is such tagging: this appearance of the real is not a real appearance.

(3) These modern realists are guilty of yet another over-simplification. By treating object as such as neither real nor unreal and interpreting reality and unreality as equally pragmatic or linguistic or anything else they have missed a notable feature of the *unreal* object. In whatever way reality is interpreted, unreality is not co-ordinate with it. The unreal is that which was once apprehended as real. If it were not understood as 'once apprehended as real, but now rejected,' even abstract contents (including even the *neutral contents* of these realists) would have to be called unreal.

The central problem of error is how a content can be both objective and unreal. If the denial of objectivity, as by the Vijñānavādi Buddhist, has been too easy, so has been the attempt to treat reality and unreality as only extrinsic to the content.

I. *Nyāya-Vaiśeṣika theory of error*

The illusory content as both object and unreal could not be a problem at all if object in normal perception were not wholly coincident with the real. Object to be so coincident with the real is not merely what just happens when a perception is not erroneous. It follows, we have seen, from a fundamental postulate of knowledge, at least of perception[1]. The problem, then, is this:—How can the same object be real and unreal at the same time?

The problem can be formulated in another way. In course of examining the modern realistic theory of error we have shown that the content rejected is, even after correction, *asserted*, though neither definitely as existent nor definitely as non-existent. It is asserted, in other words, as a queer type of appearance of the Teal. How can the rejected content be yet an appearance of the real? A can be taken as an appearance of B if between them there runs a bond of identity. But how can there be a bond of identity between the false and the real when the false is definitely rejected as unreal?

Nyāya-Vaiśeṣika solves the problem characteristically in close touch with objective common sense. It holds that though prior to correction there was the awareness of a total object 'this snake' or 'this is snake,' correction of it entails that this awareness was wrong, another name of which is that the total content is unreal. Yet, however, the awareness of it was *savikalpa-pratyakṣa*, which implies that some reals (apprehended in *nirvikalpa-pratyakṣa*[2]) were related into a unity by *vikalpas* which are knowledge-wise. The reals in the present case were *this* and *snake*, for nothing else could be related into the unity 'this is snake.' The *this* here was but the real rope perceived as mere *this*. Its rope-*svarūpa*[1] was not perceived on account of certain defects in the percipient or outside. We perceived, in other words, just a given substratum, no *svarūpa* of it. The other real was *snake*, but not *this snake* or *that snake*. Not *this snake*, because there was no snake presented. Nor, again, *that snake, i.e.*, a snake of the past remembered in relative fullness as the snake there and then, for *that snake* could not be combined with a *this* substratum. What could be so combined is just *snake* (*sarpamātra*). Some past snake is no doubt remembered, for otherwise there could not be a question of snake at all; but it is not remebered as *that* snake. Only the snake-*svarūpa* is remebered. As any past snake is real, so is also the snake-*svarūpa* (*sarpamātra*) which is only a part of it. This snake-

svarūpa came to be combined with a *this* into the *savikalpa* unity 'this is snake' through a peculiar psychological mechanism, viz., that the very memory of the snake-*svarūpa*[2] acted as the contact between the sense and the real substratum. This psychological mechanism does not concern us for the present.

The elements *this* and *snake*[3] are real. The *vikalpa* relation that combined them into a unity is also real; this follows from the fundamental postulate of knowledge already mentioned. But unlike the elements and the *vikalpa* relation, the unity formed *is not* real. In correction this unity stands rejected. This last is the intriguing feature of illusion. Normally when the elements and the *vikalpa* relation are real the unity effected stands also as real. The present case is an exception, only because the unity has been rejected in correction. Not that I was not aware of the unity before correction, nor that as an object *then* it was not apprehended as real. But correction contradicts just this prior awareness and therefore sublates this object. It follows that once it is sublated it cannot be taken to have been real even before.

But if it cannot be said to have been real, how can we say that it was yet an object? Does not the reality of every object follow from the very fundamental postulate of knowledge? The Nyāya-Vaiśeṣika reply is that it cannot be said to have been an object even. It was indeed felt as an object, but as a matter of fact it was not an object[4]. Not that it was therefore wholly subjective. This idealistic theory has been already refuted. Moreover, if the elements are real outside their unity cannot be merely subjective. It cannot be said, again, that though the elements are real by themselves they yet *as in the unity* must partake of the nature of that unity. Here there is no question of the elements *in the unity*: in the unity there are no elements, there is only the unity, and nothing else, the elements being only inferred as having been apprehended in a prior *nirvikalpa* knowledge.

The unity in question is neither merely subjective nor an object coincident with the real. Not that as neither subjective nor such object it is the neutral object of the modern realists. Such neutral objects we have already dismissed. Nyāya-Vaiśeṣika is forced to conclude that after correction there is no talk of such unitary object. Though prior to correction some such unity appeared, correction is just its sublation. What is meant is this:

After correction we cannot say 'This snake is (was) not'. Such negative judgment is impossible. Every judgment, affirmative or negative, is possible if at least the subject is already known as real. 'A table is not in the room' presupposes that there is a table in the world (though not in the room). But before we are entitled to say '*This snake* is not' we are already assured that *this snake* has been sublated. So there is no occasion to use 'this snake' as the subject of a judgment. It will be no use arguing that though the present *this snake* is sublated there were other *this-snakes* at other times. 'This' refers primarily to one unique particular, one that is presented just here and now, and in comparison with it the use of the word 'this' as characterising other things which were so presented is abstract and symbolic, not a genuine living use. Whatever else may be called *this*, the primary and living use of the word is regarding a very unique particular entity. *This* snake is the very particular unique snake that was here taken as a real object and is now sublated in correction. 'This snake', so understood, cannot be the subject of a judgment, affirmative or negative. The negation of *this* snake, so understood, would be a case of *aprasaktapratiṣedha*.

If *this snake* cannot be denied now, it cannot also be taken, from the point of view of correction, as what was affirmed before correction. From the point of view of correction, then, *this snake* was not an object.[1]

But do we not yet, even from the point of view of correction, say '*This snake* was not' or '*This snake* was apprehended as object', and do we not mean something by that? Nyāya-Vaiśeṣika would claim that this is an unjustified use of language. We do certainly mean something, we mean that *this snake* is sublated. But sublation is not adequately representable in the form of a negative judgment. Sublation may include, imply or entail a negative judgment, but it is more than that. Even the negative judgment that is included, implied or entailed is not of the form. '*this snake* is not', it is of the form 'no snake is here (in *this*), where the subject is not *aprasakta*.

It follows[2] that the unity effected out of *this* and *snake* through a *vikalpa*-relation is not 'this is snake' or 'this snake', but 'snake is in this' or 'snake in this', not even 'snake *as in this*' (for in the statement '*snake as in this* is not' the subject would be equally *aprasakta*). We have remarked earlier[1] that though in normal cases 'P is in S' is translatable as 'P is *as in S*' this is not possible here. The unity effected here is loose, not a close one like 'this

is snake'. It may even be said that this unity is little more than nominal. 'In S' in the judgment 'P is in S' does not characterise and is not, therefore, predicable, in any normal sense of predication, of P[2]. The content 'snake in this' is not a unity except in name. What is apprehended here in *savikalpa-pratyakṣa* is the very reals *snake, this* and *inness, and nothing else*. The factual relation is here itself the *vikalpa* relation[3]. Such is also the case with the content "hare's horn" which is rejected in the statement "hare's horn is not". What is negated here is not truly "hare's horn", but 'horn in the hare'. Such interpretation in either case may appear circuitous. But it is inevitable, because otherwise there would be the impossible situation that a content— 'this as snake' or "hare's horn" —is both rejected and yet a real object. If only a content is interpreted this way the difficulty would be removed: there would be an easy reconciliation of the rejection of a content with its being a real object[4&5].

Because there was no genuine unity of the form 'this snake'=='this is snake' Nyāya-Vaiśeṣika takes *this*-aspect as belonging to *this rope*, not to that apparent *this snake*. The *snake* that was real was not a *this snake*, it was merely *snake*; the rope alone was *this rope*, or, better, the rope was perceived (barely) as *this*. Many Indian thinkers have not admitted this. They believe that there was a *this*-aspect as much in the false content as in the rope. But they could at all hold this, only because they believed that there was a total false object of the form 'this is snake'. Why they hold this and how far they are justified will be seen in connection with our discussion of the Advaita theory of error later. Nyāya-Vaiśeṣika, for reasons we have seen, cannot subscribe to this view.

According to Nyāya-Vaiśeṣika, the *this*-aspect does not really belong to the apparent content 'this snake'. This does not, however, mean that the business of correction is only to drop the *this*-aspect and retain the mere *snake*. It is only the Vijñānavādi Buddhists who argued that way and concluded that because 'this' means 'to be now outside me' correction presents the illusory content as not so outside, and, therefore, as subjective. The Vijñānavādin's view has been dismissed already. Nyāya-Vaiśeṣika may add that correction does not drop *this*-aspect; it only cancels *sāmānādhikaraṇya* of *this* and *snake* and presents the illusory content as 'snake in this[1]'.

J. *Alexander's theory of error examined*

Alexander's theory, though largely in tune with the Nyāya-Vaiśeṣika, differs from it in an important respect. Like the Nyāya-Vaiśeṣika thinkers, and practically on the same ground as theirs, he too holds that *this* and *snake* are each real, and as the snake-as-here ('this snake') is rejected it must be a snake elsewhere. Error lies, according to him, in mis-connecting the elsewhere snake with a sensed *this*, But the main point, *viz*, about the exact status of the illusory content 'this snake', he left untouched. He draws no distinction between object and the real, except admitting that *this snake* is a false *appearance* of the sensed rope and that the falsity of the appearance is due to the content being a joint appearance of the rope, on the one hand, and the percipient mind (or the physiological organism), on the other. If by this he means that the appearance is of the rope and yet constituted in whatever way by the mind, it would be what we have so long been terming *object*. But probably he does not mean this. He understands it as in line with his 'mere appearance' where the constitutive factors are all physical. His 'mere appearance' is not *object* in our sense; and in false appearance it is, as appears from what he says, an accident that one of the constitutive factors is the mind. Even as regards his 'real appearance', there is no contribution of the mind. By 'appearance' he only means a selected portion of reality. But in his doctrine of selection he errs in two ways. In the case of real appearance he has shown that the content of a perceptual knowledge is a portion of the reality-continuum, knowledge being nothing but a selective response. But he does not show how 'mere appearance' is a selection. The factors constituting it are admittedly not selected from the reality-continuum, but neither so is the content called 'mere appearance'. The factors, again, are parts of the reality-continuum, though not -selected; but that *content* is not even a part. It would be too much to contend that the oval shape of a round coin is a *part* of the reality. It depends on the position of the percipient's body *vis a vis* the round coin. If it be contended that the round shape too depends on the position of the body, the conclusion should rather be that every appearance—real or mere (and *a fortiori* the unreal also)— depends on the subject and is, therefore, *object* in our sense. There is no ground to overlook this dependence in either case. As a matter of fact, even the real appearance depends on selection by the mind—depends, not for being known, for that would be a truism, *knowledge* meaning selection,

but for the content being an appearance at all. This is not to be tabooed immediately as involving egocentric predicament. We never deny that though the appearance so depends there is nevertheless an independent reality as the background, and we perceive not merely the appearance but also that reality.

If Alexander wants to avoid this conclusion the only course left to him would be to hold that there is no appearance at all, but that knowledge as diaphanous directly reveals the real. But, then, there should be no talk of *selection* in the sense in which Alexander understands the term. If reality were a continuum selection would change it into a definite discrete portion, and knowledge would not be diaphanous. If, however, reality were not a continuum, but a series of discretes, knowledge would indeed be diaphanous, and the word 'selection' might be used in the *ordinary* sense of the mind being directly in contact with one specifically of the many discretes. But this would amount to abondoning the entire metaphysical structure which Alexander had built before he turned to epistemological problems. This is his second error.

As for the concept of diaphanous knowledge directly referring to definite discrete reals, we have already seen its defects in Sec. I. Here we may add one more point. If knowledge were diaphanous, directly in contact with definite discrete reals, how would perception, memory, inference, *etc.*, be distinguished from one another? We must say that either these cognitions are qualitatively distinct or their contents have perceivedness in one case, rememberedness in another, inferredness in a third, and so on, these being emergent differential characters of the contents themselves. But on the former alternative knowledge would no longer be diaphanous, and the second alternative would inevitably lead to a distinction between reality and object, that which has perceivedness, rememberedness, *etc.*, being a real, and that reality as with the perceivedness or rememberedness, *etc.*, being objects. If it be contended that the qualitative difference of types of cognition does not militate against being diaphanous—each such type directly referring to the real—we would ask: Does this reference account for our awareness of the real as *object*? Does it not merely prove that *there* is *a real* (with such and such characters)? From where, then, does the consciousness of that reality as *object* come? It cannot be said that *object* is another name for there being a real. The real was there even before I knew

it. Nor can it be said that object is only another name for that real being known, for while the 'real being known' is known in a secondary experience, commonly called introspection, the real is known as *object* even in the primary experience. Knowledge as diaphanous cannot explain this primary knowledge of a real as *object*[1]. The much maligned representationism is in this point a better account than direct realism. The only defect— though that is serious—of representationism is that it has very sharply distinguished object and reality to the extreme point of their separation[2]. They, we have so long been noting, are not separate. Except in erroneous perception[1], object cannot be dissociated from reality. Objectivity is a character accruing to the real and is itself, on that very account, believed as real. To put the matter more succinctly, object, except in false perception[2] *coincides* with the real.

K. *Prābhākara theory of error examined*

Like the object of any normal perception, the false snake has to be taken as object, though it does not coincide with the real. But this non-coincidence, we have seen, is an anomalous phenomenon, Nyāya-Vaiśeṣika tried to remove the anomaly by recognising the constituents only of 'this snake' as real. *This, snake* and the *vikalpa* relation are alone, according to them, real; the total content is not real and, therefore, no unitary object even.

The Prābhākaras have proceeded another way. They stick more closely to the basic doctrine that object (at least in perception) must coincide with reality. Object, everywhere, is nothing but a real as revealed by knowledge, objectivity being only the character of being so revealed. Because this character must belong to a real that is so revealed, there obviously cannot be an object in default of that real. Except in cases where a content is false or self-contradictory, the Naiyāyika has also held this view; he has excepted the false or the self-contradictory only because it has come to be rejected. He has rather been compelled to except it. But the Prābhākaras would argue that there is no such compulsion. There is another alternative: we may deny that the content has at all been rejected. The Prābhākaras would argue as follows:

If once it is established that object is but a real as revealed by cognition it would be senseless to modify the position to the absurd extent that there may be object even though it is not real. The false content is, of course, a challenge to this notion of object: it appears to be rejected in correction. But would it not be better, the Prābhākaras argue, to re-assess the correction-situation to see if that rejection is not only apparent, nothing serious, than abondoning the definition of object already established? The Prābhākaras contend that in correction there is as a matter of fact no rejection. Rejection is always of a content which was *known, i.e.*, taken as a *real object*. But as in correction we come to know that the false content was not a real object, this means that it was not a *known* object. What reflection certifies is the true nature of a thing. Correction as reflection certifies that there was no cognitive object. Hence truly there was no cognitive object. Nyāya-Vaiśeṣika thinkers have also admitted this logic, though only partially. They too have contended that because in correction we come to know that there was no object in the form 'this snake' there really was no such object. But immediately after this, and uncritically enough, they have yet held that som ehow they were aware of the object 'this snake' before correction. It is because of this their uncritical faith that they spoke of correction as the rejection (*bādha*) of the content. The Prābhākaras, on the other hand, hold that no content—not even the total content 'this snake' —is rejected. If at all anything is rejected it is only the knownness, the cognitive character, of the total content, the content remaining untouched. But even this cognitive character is not *rejected*. Rejection of it would imply that before correction the content 'this snake' was apprehended as a cognitive object. Correction certifies this much only that there was no cognitive object like 'this snake'. A cognitive object is *ipso facto* real (*pāramārthika*). Correction certifies only that it was not cognitive, but conative (*vyāvahārika*). Hence even before correction we were aware of it as only a conative unity. *This* and *snake* were, however, cognitive and, therefore, rear objects; the question here is not about them, but about the content 'this snake' = 'this is snake'.

But how is it, it may be asked, that when *this* and *snake* were *known* as real objects the total content 'this is snake' was not a cognitive object? The Prābhākaras reply that the so-called total situation was, from the cognitive point of view, a sheer privation: we only *did not distinguish* the two cognitions—one of *this* and the other of *snake*; or, better, the two cognitions remained undistinguished, and the so-called unitary content, cognitively

speaking, is only their non-distinction. True, we acted according to this so-called total content, we fled when we saw 'this snake'. Such acts, it is true, could not be prompted by sheer privation, and we have therefore to admit a *positive* unitary content and a positive awareness of it. But the Prābhākaras argue that though such positive unitary content and positive awareness have to be admitted the unity and the awareness are not *cognitive*. 'This is snake' is, in other words, no *object*. It is either what is only referred to by conation or a mere verbal unity.

Two things non-distinguished are often taken as one unity in the context of an act. It is the act which treats them as though they are unified. Act or will is normally indeed a response to a cognitive unity. But even in every such normal act there are contents which are cognised as non-distinct and yet unified by that act. What is called object of will is primarily the object of the cognition that causes the will; but in every will there is inevitably reference also to the means and a purpose which do not stand cognised as related to that object or to one another. By 'purpose' here is meant the actualisation (*bhāvanā*) of the object. The object of will was cognised as only a future reality, but there was no cognition of it as *to be actualized*. Futurity of the object was no doubt cognised, but it means only future actuality, not the dynamic *to be actualized* which is a peculiar unification, through will only, of the object and its futurity. X, Y, Z which are *means* to that actualisation were also cognised, but not *as means*. Their means-hood (*upāyatā*) is another peculiar unification, by will only, of X, Y, Z with that object of will. They might have been cognised as causes, but not as means. Means-hood and purpose-hood are absolutely conative categories. Action alone thus unifies contents which are cognised as non-distinct, *e.i.*, unrelated to one another, relation necessarily presupposing that relata are known as distinct from one another. We have seen that the contents of *nirvikalpa-pratyakṣa* in Nyāya-Vaiśeṣika were also known as non-distinct from one another, 'non-distinct' meaning here, as also in the Prābhākara view under discussion, not that the contents are each known with its self-identity[1], but that they are not known as each being *not another* or each dissociated from another. We have also seen how in *savikalpa-pratyakṣa* these non-distinct contents get related to one another and turn into a unity (though these relations and that unity are not merely subjective). Such unity is *cognitive*. The Prābhākaras only contend that there is also another type of unity which, as described above, is conative. The conative unity is called by

them *vyāvahārika*. As in normal will, so also in illusion the unity 'this snake' is *vyāvahārika* only. *This* and *snake* get unified in the context of act only.

There is another possible account of the positive unity of the illusory content, and some Prābhākaras have admitted that. It is that the unity is only *verbal*. In a sense the Naiyāyikas also regard the unity, not only here but even in normal *savikalpa-pratyakṣa*, as verbal. Every *savikalpa-pratyakṣa* is, according to them, *śabdānubiddha. Vikalpa* relations are necessarily semantic forms of language, forms of language *spoken*, not *heard*, language that is *spoken* being, as spoken, undissociable from *knowledge* as judgment. The language that is dissociated from *knowledge* as judgment is the language which is *heard*, such language as heard being taken as a system of sounds or marks producing in the hearer another judgmental knowledge which, however, is not then spoken by the hearer implicitly or explicitly. The unity, thus, not merely in illusion but in every case of *savikalpa-pratyakṣa* is, according to the Naiyāyika, verbal. But the Naiyāyika has not refrained from saying that as much in illusion as in every case of *savikalpa-pratyakṣa* it is also real and, therefore, an object. These Prābhākaras, however, here part company. They agree with the Naiyāyikas that in normal *savikalpa-pratyakṣa* the unity is an object and would even go farther and hold that there is such unity as object even in *nirvikalpa-pratyakṣa* where it remains in some latent form. But they would entirely disagree with them so far as the content of erroneous perception[2] is concerned. The unitary content is in this case merely verbal, not real.

Whichever way 'this snake' is interpreted—whether as non-distinction of *this* and *snake* or as a conative or a merely verbal unity of these there is no question of its rejection. What may be said to be rejected is only the positive cognitive character of 'this snake'. But, as already seen, even this is not rejected, we only deny it. Even before correction 'this snake' was not apprehended as a possitive cognitive object.

The Prābhākara view is in perfect consonance with the doctrine that every cognitive object is real. But its weakness also is evident, and the weakness is fundamental.

The Prābhākara contention that even the cognitive character of the object 'this snake' is not rejected, but only negated, does not appear to be a sound

account of the business of correction. Whatever be the Prābhākara theory, we do feel that before correction we were aware of 'this snake' as a cognitive object. It is too much to claim that we were aware of it as a conative or only a verbal object or as *this* and *snake* non-distinguished. The Prābhākaras were right in claiming that reflection offers a true account of the nature of the thing reflected on. But this does not mean that even before reflection we were aware of the thing in that correct way. Often the reflective account appears, without any hitch, as contradicting and often, again, as rejecting the unreflective account. There is no good reason why the Prābhākaras should discount the second contingency. Rejection (*bādha*) is often an actual phenomenon, and it is no good fighting shy of it. But once we admit rejection it would mean good-bye to the Prābhākara theory.

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[1] Subjectivity, however, is not in this way an extrinsic property of knowledge. We have shown in Sections I and II that, according to Nyāya-Vaiśeṣika, every knowledge is necessarily *of a real*. This means that with the very emergence of knowledge it stands as subjective (*viṣayin*). We are here describing the Nyāya-Vaiśeṣika view of object only.

[2] By 'relational property' here is meant relation itself as the property.

[1] Nor are they necessarily objective: they are objects in the context of knowledge only. Metaphysically, they are neutral reals.

[2] Though it is necessary that there must be an *anuyogin*, the particular *anuyogin* in a particular case is an empirical accident. Hence the relation cannot be said to be constituted by that particular *anuyogin*. The *pratiyogin*, however, of the relation is constant.

[1] Non-judgmental perception is, according to Nyāya-Vaiśeṣika, no intrbspectable stage. It is certified by inference only. Introspectable knowledge is in the minimum *savikalpa-pratyakṣa*, and its content is apprehended as a substantive-adjective complex. But the awareness of a complex is impossible unless it was preceded by the awareness of the constitutive simples. This is the same thing as saying that the awareness of object presupposes the awareness of reals as such.

[2] Unless contradicted.

[3] Whether it may not be a primary illusion of the human mind, so that it cannot have an analogue, and whether Advaita and Buddhism are justified or not, and if so, to what extent, will be seen later.

[1] There is no way out, because to be independent of knowledge and to be constituted by it stand equally evident. This means that no defect in either is discovered. Further, of the two awarenesses— one of independence and the other of constitutedness—neither is finally later than the other. It is true that we first apprehended the object as independent, and then later, through analysis, find it to be constituted by knowledge. But the fact remains that even after we have found this the object is apprehended as independent. Hence there is neither *doṭadatsana* nor *uttarajñānapakṣāpāta*. To say that analysis as *yukti* is stronger than *pratyakṣa* would be irrelevant here. *Yukti* is stronger either when it leads to the discovery of a defect in the cognition rejected or when the prior cognition is so clearly felt as rejected that its content suddenly disappears or when the point of view is of *prāmāṇya* (validation of a cognition), not of primary assertion which is just belief or *taking* something to be

real. But here neither a defect in the pre-*yukti* cognition is discovered nor its content suddenly disappears nor is the point of view that of *prāmāṇya*.

[2] Some Nyāya-Vaiśeṣika thinkers hold that even if objects and forms of objectivity cannot be reduced to thesfcatalogued *padārthas* there is nothing to be ashamed of. They believe that the sevenfold classification of *padārthas* is not final, but only a prescription. They hold that if *per force* other types of *padārthas* have to be admitted this would not go against the Nyāya-Vaiśeṣika spirit. Nyāya-Vaiśeṣika, in their opinion, is *aniyatapadārtha-vāda*.

[3] As in Section I, we shall use these two terms, meaning by the former 'constitutively determined by knowledge' and by the latter 'independent of knowledge' or 'belonging as a property to the real'.

[1] The universal as quite real ia similarly, for Stout, exhausted in the relevant particulars.

[1] The Nyāya-Vaiśeṣika theory of error will be discussed again in detail later in this essay. Here, and there also, we have discussed the theory which is most consistently Nyāya-Vaiśeṣika. Different Nyāya-Vaiśeṣika thinkers are not always unanimous in their views of error. They often differ in fundamentals even.

[1] For detailed analysis of the *vikalpa* relation involved in the categorical judgment see author's "Object Content and Relation"—Chap. II.

[1] The defect to be pointed out must not be a *deus ex machina*. It has to be a *vera causa*.
One point regarding the function of defect. Some believe that it is no ground for rejection, but rather an explanation as to how illusion did at all occur. But this is untenable. Assuredly in some cases an object is rejected because of a defect discovered in, the knowledge of it. If so, why may it not be a ground in some other cases also?

[1] Logical Positivists take *truth* in this sense as without metaphysical import. By "truth" they mean exactly what Indians mean by "*prāmāṇya*".
Even *Naiyāyikas* who recognise extrinsic truth, *i.e.*, believe that truth =*pādmāyṇa* is extrinsic to primary assertion, are not clear on the point whether truth has metaphysical import, except when they say that the inference which establishes the *prāmāṇya* of an assertion is based on its *samarthapravrttijanakatva*.

[2] The problem of *prāmāṇya* will again come up for discussion later.

[1] "Really real" means that it is wholly independent of the knowledge of it.

[2] This is why Nyāya-Vaiśeṣika maintains that the cause of *savikalpa-pratyakṣa* is not its (total) content, but only the corresponding *nirvikalpa-pratyakṣa*.

[3] *Vide* author's "The Business of Philosophy" in the Proceedings of the Indian-Philosophical Congress, 1955, and "Objective Attitude and Idealism Proper" in K.C. Bhattacharyya Memorial Volume.

[1] *Vikalpas* are constituted not merely by knowledge (thought) but by language also. Naiyayikas also say that *savikalpa-praiyakṣa* is *śabdānvbiddha*. They only insist that the total content of *savikalpa-pratyakṣa* is real also.

[1] Throughout the following few pages we assume that *nirvikalpajñāua* is an introepectably deteoted stage.

[1] The whole and a part, however, are not in contact with one another. What that relation is will be seen very soon.

[1] The whole (of parts) is not here SP. SP here is the totality of the whole and the parts.

[2] Inoluding illusion as not yet corrected.

[1] It is true that objectivity without reality is an equally perplexing notion. But the basic problem of error is just to understand this situation in a way that would remove the perplexity. It has been shown in the next few pages how different Indian thinkers, and some Western thinkers also, have struggled with the situation to discover the correct perspective. Except the Sunyavadin, everybody in India has admitted that though the *total* content of illusion is not real, there is some reality nevertheless. The discussion has brought to the fore further characters of the object here. Some hold that it is a loose unity, some that it is no *cognitive* object and some that it is a new type of cognitive object, called *prātibādsika*. The Vijñānavādin's contention that the illusory content is a subjective reality is only too hasty.

[2] By 'content of correction' is meant the content of the corrective judgment, not what is corrected.

[1] We are here concentrating on *perception*. It will be shown later, in connection with the Advaita view of object, that in non-perceptual cognition object is felt, to whatever extent, as dissociated from the real. But that in no way affects their complete coincidence (identity) in perception.

[1] Non-existence is also a form of reality.

[2] If reflectively, or in some specific cases, *e.g.*, in correction and non-perceptual cognition, object is felt as dissociated from the real, this does not affect their complete coincidence (identity) in normal perception. Reflection, as we have seen, does not here reject what is experienced in normal perception. If still one feels preference for reflection or for those specific cases, this is either sheer prejudice or suggests a transcendental standpoint (not logically substantiable) which demands re-orientation of all that we have known through ordinary means of knowledge.

[1] Most of the Indian thinkers believe that it is a postulate not merely of perception, but of all kinds of knowledge.

[2] Amended in footnote (3) to the next page.

[1] '*Svarūpa*' might have been translated as 'character'. But such translation is risky, as it might suggest that the rope was not apprehended in *nirvikalpa-pratyakṣa*.

[2] Or the snake-*svarūpa* itself as remembered. Gangeśa, for other reasons, believes that what acts as *sannikarṣa* here is *doṣa*.

[3] The snake-*svarūpa* is not indeed apprehended in *nirvikalpa-pratyakṣa*. It is the content of such memory as is due to the maturation of the disposition (*saṁskāra*) of a prior *nirvikalpapratyakṣa* of snake.

[4] In the sense that there was no object of the form 'this is snake'.

[1] It is not denied, however, that we somehow apprehended it as object. Correction sublates this object.

[2] *Vide* p. 31 ff.

[1] *ibid.*

[2] Normally all *relational* judgments are also *characterising* judgmnts—'P is in S' is translatable into 'P is *as in S*'. So far modern mathematical logicians have scarcely improved on the Aristotelian logic. It is only when an erroneous or a self-contradiotory content is sought to be represented in the form of judgment that we have relational judgment proper.

[3] Normally in 'P is in S' there is a secondary *vikalpa* relation, because the proposition can be written also as 'P is *as in S*'. But this is not true of 'horns in the hare' or 'snake in this'. See p. 31 ff.

[4] As the content 'snake here (*in this*)' is negated the false snake is really the 'snake not here', *i.e.*, the 'snake elsewhere'.

[5] Vácaspati Miśra did not interpret the false content in this way, and was consequently compelled to admit an additional *vikalpa* relation which, according to him, was not real, *i.e.*, *asat*. But obviously this is not in tune with the realism of Nyāya-Vaiśeṣika.

[1] We have only *presented* the Nyāya-Vaiśeṣika view, and our purpose was only to show what light this view of error throws on the problem object *vs* reality. The Nyāya-Vaiśeṣika view of error will be criticised in connection with the Advaita view treated later.

[1] We may also point out that each such type presents the real in different aspects. Perception, *e.g.*, presents it in both *sāmānya* and *viśeṣa* aspects or in the *viśeṣa* aspect only; but inference presents it only in the *sāmānya* aspect (it does not present the *sāmānya* aspect only, the definite particular real is presented in that aspect). Now such aspects are not *parts* of the real, so that the concept of appearance (object) is here unavoidable. Or, we might say with the Advaitin that while perception removes both *asattāpādaka-ajñāna* and *abhānāpadaka-ajñāna* inference removes the former only. Here also these *ajñānas* are not *parts* of the real. As for what happens in memory, we need not discuss that here.

[2] Whether such sharp distinction is ultimately a defect or not will be examined later in connection with the Advaita view of object.

[1] Whether or not in non-porceptual knowledge also, will be seen later.

[2] *Ibid.*

[1] This self-identity is what is called in other systems *viśeṣa*, and in Nyāya-Vaiśeṣika the very *svarūpa* of the content.

[2] Throughout this section we are considering erroneous *perception*, not error in non-perceptual knowledge.

Stephen H. Phillips   **Padmapāda's illusion argument**

INTRODUCTION

Advaita Vedānta's tradition of reflection on perceptual illusion arises out of a concern with *mukti*, a "liberation" or "salvation" that is conceived as a radical change of awareness, thus as a "mystical experience." Developing the teachings of the Upanishads and the *Bhagavadgītā*, Śaṅkara (circa 700 A.D.) and his followers try to articulate a world view that would explain the possibility of this mystical state and show it to be the *summum bonum* (*paramapurusârthā*). It is problematic whether any Advaita philosopher, even the great Śaṅkara himself, is a "mystic philosopher," that is, one who attempts to describe his own mystical experience and to theorize therefrom. But convinced that a kind of *experience*, albeit a mystical experience, is the most important matter in life, the Advaitins try to formulate a comprehensive theory of experience (*anubhava*) that would conform to their soteriological views. Above all, it is the topic of perceptual illusion that forms the bridge between the Advaitins' soteriology on the one hand and their theory of experience on the other. The relation of the salvific experience to our everyday experience is viewed as analogous to the relation between veridical and delusive sense perception.[1]

 Śaṅkara, in the very first sentence of his *Brahmasūtrabhāṣya*,[2] uses the term 'adhyāsa', literally "superimposition" but also "false appearance," to capture the relation between the natural and mystical state of the self's true experience on the one hand and worldly experience on the other.[3] The Advaitin then asks, "What is *adhyāsa*?" and proceeds to give two characterizations (or definitions) of it. The second of these he defends with references to everyday instances of illusion. Thus in this opening passage, and in pronounced fashion in his Upanishadic commentaries and his *Upadeśasāhasrī* as well, Śaṅkara articulates an understanding of "*adhyāsa*" that is supposed to include both everyday and mystical phenomena.[4]

Further, in this "*adhyāsa*" section of his *BSB*, he mentions some alternative views of illusion, apparently for descriptive as opposed to polemical purposes: without disputing these views, he puts forth his second characterization and claims that it would be acceptable to all disputants.[5] Therefore, with these characterizations, Śaṅkara must be seen as launching Advaita "phenomenology of perceptual illusion."

However, it is only after Śaṅkara that Advaita phenomenology and indeed critical reflection overall become advanced. Śaṅkara himself is so much less concerned with argument and justificational issues than with elaborating the soteriological teachings of diverse Upanishadic texts that many of his more properly philosophic views are too inchoate and embedded in other discussions to repay at all easily a scrutiny,[6] although many modern reconstructions of his positions have appeared. His followers inherit the soteriological and textual concerns, but they also try to be systematic and to refute opponents on a whole range of issues. It is with Śaṅkara's disciples, Padmapāda, Sureśvara, and Vācaspati, and *their* followers that the Advaita polemics and phenomenological analyses become truly astute.

Advaita theory of knowledge and related phenomenology become increasingly broad in scope as, through the years, there is a shift in the focus of Advaita reflection. In general, more and more attention is paid to cosmological and worldly (*vyavahārika*) issues, while Śaṅkara's embedded epistemological positions are enormously filled out. By the time of the *Vedāntaparibhāṣā*, the famous seventeenth-century textbook of Advaita epistemology, the topic of perceptual illusion is taken up not so much within a soteriological discussion as within a wide-ranging explanation of "means of knowledge" (*prāmaṇa*) in general.[7] The *Vedāntaparibhāṣā* incorporates centuries of reflection—much of which originates in rival schools—on topics ranging from particulars and universals to the foundations of claims about the nonpresence of something x. (Do I directly perceive that there is not an elephant here?) Thus one should not think that Advaita epistemology is limited to a concern with perceptual illusion, particularly in the later period. Yet in the *Vedāntaparibhāṣā* and in many intermediate works, the early phenomenology of perceptual illusion, and in particular that contributed by Padmapāda, informs crucially the theory of knowledge, somewhat like the influence of Descartes and Hume in the West.[8] It clearly forms the mainstay of the central Advaita positions.

Padmapāda is generally admitted to have been Śaṅkara's younger contemporary and his student. Along with Sureśvara (who most likely was also a student of Śaṅkara) and Vācaspati Miśra (who was probably at least a generation later), he is the originator of a distinct line of Advaita commentary. These three are the founders of the *prasthānatraya*, "three lines of interpretation [of Śaṅkara]," known to students of Advaita. Padmapāda launched a tradition of commentary and understanding of Śaṅkara to which several prominent philosophers belong, including Prakāśātman (circa 975), the title of whose lucid (but often unfaithful—see note 12 following) commentary *Vivaraṅa* has become the name by which this branch of Advaita is commonly known; Citsukha (circa 1275), the logician and polemicist who purports to refute all the late schools; Mādhava (circa 1350), who is best known for a wide-ranging survey of Indian schools;[9] and Dharmarā-jādhvarīndra, the author of the *Vedāntaparibhāṣā* previously mentioned. There are also several lesser figures who belong to Padmapāda's "line," and the number of Sanskrit commentaries written on his work is large.[10]

In this article, I wish to examine Padmapāda's thought on illusion—with an eye to evaluating his metaphysics. Despite the sophistication of Padmapāda's analysis, the marriage between the metaphysics and the understanding of illusion is an unhappy one. Yet this point could be turned around: although, as I shall show, Padmapāda is unsuccessful in his attempt to show through an illusion analogy the possibility (*sambhava*) of his views about the Absolute (*brahman*), his meticulous phenomenology of the mental life has merits of its own. I shall not slight it by jumping too quickly into an examination of the metaphysics. Only after presenting with some detail Padmapāda's analysis of everyday illusions do I take up the metaphysics of Advaita and demonstrate the failure of his illusion analogy.

Another aim of this article, overlapping the evaluative concern, is historical. I contend that Padmapāda's view of illusion illumines his metaphysics of *brahman*, the "Absolute," and of *brahman*'s relation to *māyā*, the "cosmic illusion." This metaphysics has been misunderstood by some scholars of Indian philosophy.[11] By elaborating Padmapāda's use of the illusion analogy, I intend to show precisely what his views are on the nature and ontic status of "*māyā*." While it is a matter of debate to what degree he departs on this score from Śaṅkara, his views on *māyā* are not the same as those of Prakāśātman, his famous "follower" who lived about two

centuries later.[12] Also, Padmapāda's insistence on defending the possibility (*sambhava*) of the truths revealed by *śruti*, "scripture," along with the phenomenology, achieves a quantum leap in Advaitic philosophic procedure. This type of reasoning, in addition to the phenomenological arguments, represents a major development over Śaṅkara.[13] This article is not directed principally to questions of Padmapāda exegesis or of his place in the evolution of Advaita, but it is intended to investigate further what is hardly a fully worked mine.[14]

THE DISTINCTION BETWEEN ILLUSION AND MEMORY

Padmapāda's principal work, the *Pañcapādikā*, is a commentary on that portion of Śaṅkara's *BSB* which explains the first four sūtras of the *Brahmasūtra*.[15] Presumably, the work was to take up the first five sections of Śaṅkara's *BSB* (that is, the entire first chapter and the first section of the second), but all we have is a commentary on Śaṅkara's treatment of sūtras 1.1.1–4.

As noted, at the beginning of Śaṅkara's *BSB* the key topic is illusion as the appropriate analogue for the Self's true experience in relation to one's experience of the everyday world. Padmapāda focuses first and at length on this part of his teacher's treatise. We remarked that Śaṅkara characterizes illusion in two ways. These are, first, "an appearance (*avabhāsa*) of something previously experienced—[in this way] like memory—in something else."[16] Then after relating three alternative views, he gives a second "minimalist" characterization that is presumed to be acceptable to all disputants (as well as to conform to common usage): to wit, "the appearance of one thing with the properties of another."[17] As I indicated, it seems to me that Śaṅkara, because he gives the second characterization without a word of dispute for the alternative positions, is not so much concerned with the precise nature of illusion as with making a soteriological point. He wants merely to refer to illusions as the phenomena that are—within our everyday experience—the appropriate analogues for the relation of the world to the single transcendent Self. But Padmapāda takes it upon himself to show that each of Śaṅkara's characterizations is superior to

alternative views, and does not elaborate the minimalist point. His concern is with disagreements on illusion among rival schools.

Padmapāda begins his discussion by distinguishing an illusory cognition (*mithyājñānā*) from an instance of memory. He has two goals in this regard. First, he wants to show in what sense the term '*smṛtirūpa*', "like memory," is used by Śaṅkara in his first characterization. Second, he wants to establish—against an alternative view of illusion ("*smṛtipramoṣakhyātivāda*" interpreted as "*akhyātivāda*" by some of the commentators[18])—the positions that illusion has a distinct phenomenological character and, most importantly, that cognition is unitary. According to the alternative view, illusion is predominantly memory but also involves two cognitions, a sense cognition as well as a memory cognition, somehow blended together (because the "awareness of remembering" is obscured or "stolen away").

The reason that Śaṅkara uses the term *smṛtirūpa*, "like memory," is, he says, to suggest that there can be no illusory appearance of something that has not been previously experienced, just as there can be no memory of something whereof one has had no immediate acquaintance. This is a view that Padmapāda wholeheartedly endorses. Sensation creates mental (or subliminal) impressions (called "*saṃskāra*" and "*vāsanā*"), while both memory and illusion involve, psychologically considered, the activity of these sense-created impressions.

The way in which mental impressions inform a present cognition is complex on Padmapāda's view. He elaborates this portion of his theory while disputing the *smṛtipramoṣakhyāti* view just mentioned.[19] To translate the text, the position to be refuted (the "*pūrvapakṣa*") is:

The cognition of something x that occurs when the eye is in contact with a different thing y is just memory, but there is an obscuration (*pramoṣa*—"stealing away") of the awareness that it is a remembering. Because of some defect of the instruments [or causes] of cognition, i.e. the senses, etc., there arises a memory-awareness of a particular object, while the capacity of the organ to present the distinct thing with which it is in contact is vitiated by the defect. In this way, solely because of the defect of the sense-organ, there is a failure to note the distinction between the memory and the sensation which arise together, and thus the error is produced that there is a single [cognition] that in fact has not occurred, as in the case of two trees in the distance [perceived as one].[20]

While according to this, the opponent's position an illusory cognition is predominantly memory, Padmapāda believes that an illusion has little in common with an instance of memory except in one respect. This is that, in

both, the object cognized has been experienced previously. (This is what Padmapāda sees as the point of Śaṅkara's use of ʿ*smṛtirūpa*ʾ, as we noted.) He insists that as a presentation (*avabhāsa*) an illusory cognition differs crucially from an instance of memory in its clarity ("*spaṣṭam*") and immediacy ("*aparokṣârthâvabhāsa*").[21]

Then in addition to this phenomenological argument, Padmapāda presents a linguistic one. He points out that if the object of an illusory cognition were the same as the object of an instance of memory, then a person deluded by, for example, a piece of mother-of-pearl appearing as silver would make the judgment ʿThat silverʾ, not ʿThis silverʾ, as actually occurs. In Sanskrit, the term ʿ*idam*ʾ, "this," is used to refer to an object presented in immediate experience, while the term ʿ*tat*ʾ, "that," is reserved for objects previously experienced and remembered. Thus the common usage tells against the opponent's position. This, to my mind, is Padmapāda's best point against the *pūrvapakṣa*, although surely the phenomenological argument is also a good one.

But this is not all he says. He also attacks by asking, "What is an awareness of remembering (*smaraṅâbhimāna*)?" According to the opponent, it is this awareness of remembering which, invariably present in an instance of correct memory, is obscured or suppressed by a sense defect in an instance of illusion. Padmapāda avers that there is no particular form in which an awareness of remembering presents itself and by which it can be discerned.[22] He is firmly convinced that cognition is unitary. And I believe that it is, above all, this supposition that rules out for him the possibility of any such distinct awareness of remembering. But he does seem to have some good phenomenological points. First, we are not *always* self-conscious about our remembering when we recall something or other. This is particularly evident in recalling the meaning of words: in comprehending the meaning of a sentence one must recall the meaning of individual words, but one does not recall their meaning *as* remembered meaning. So there is clearly no "awareness of remembering" in this instance.[23] Second, memory is invariably "intentional": one cannot engage in an act of remembering without remembering some object or other. No awareness of remembering occurs entirely apart from the objective content of the memory.[24] But Padmapāda's eschewal of the idea of *smaraṅâbhimāna* involves more than the denials that there is any

remembering that is "nonintentional" and that in all instances there is plainly a self-consciousness about the remembering. He says in a sweeping fashion that whereas admittedly one sometimes designates an object as remembered by a certain usage—for example, "I remember (such and such)"—still even then, as always, no distinguishable "awareness of remembering" is involved.[25] Thus here he appears to be guided not by phenomenological considerations but by a peculiar idea of the unity of cognition. Surely we can be aware of engaging in the act of remembering— in some cases with little attention to the objects remembered. (Imagine an amnesiac questioned by a physician: "Can you remember what you ate for breakfast? Can you picture the entrance to the hospital?" The point in these cases would be to focus on remembering itself, not its objects.) Some of Padmapāda's arguments in this passage (*Ppk* 45–47) appear to be mere hand-waving. In fact his eschewal of the notion of self-conscious remembering is one indication that his is a "one-dimensional phenomenalism"—a position the full implications of which I shall explain in the last section.

Now an everyday cognition is no simple unity according to Padmapāda. Judgments (reflecting cognitions) do indeed, he says, involve mental impressions, because judgments are expressed in words whose meanings are remembered. Further, in the inference 'The mountain is fiery' (made by one who sees only that the mountain is smoky), mental impressions of past experiences of fire conjoined with smoke clearly have a role. Also, in an instance of recognition (for example, 'This is that Devadatta whom I met previously'), mental impressions are responsible for the "that" portion of the judgment. But in all these cases there is only a single cognition in part influenced by memory (*smṛtigarbha*), not two cognitions.

The references to cases of inference and of recognition are presumed to show the possibility (*utpādana = sambhava*) of a unitary cognition. Thus there also *could* be a unitary cognition in the case of an illusion:

… it is evident that an inferential cognition [e.g., as expressed in the judgment 'The mountain is fiery'] arises from a [direct] cognition [i.e. sensation] of the inferential mark [e.g. particular smoke] together with mental impressions, while an instance of recognition [e.g. as expressed in the judgment 'This is that Devadatta'] arises from eye-contact together with mental impressions. In both these cases as well [as in illusion], there is just one single valid cognition that is "impregnated" with memory (*smṛtigarbha*). Without an arising of mental impressions, both [of these two types of valid cognition] would not occur…. Nor is there, moreover, any [other] reason to believe that in these cases we have two cognitions.[26]

The unity of inferential cognitions and of those of recognition reveals, Padmapāda argues, the possibility of single yet "memory-impregnated" cognitions. That this possibility is actual in the case of illusion he presumably takes to be demonstrated by the unitary judgment it provokes, for example, in '*idam rajataṃ*' "This silver," just as with inference and recognition, although he is not explicit here.[27] In any case, a key idea in this section is the unity of consciousness in the present moment. Later, we shall review the role of the idea in Padmapāda's metaphysics.

Also important here—though for a different line of the metaphysics—is that Padmapāda sees the force of his opponent's position as deriving from the need to explain *causally* the contrast of illusion and veridical perception. He wants to appropriate that force into his own position. Note that according to the *smṛtipramoṣakhyātivādin*, illusion comes about through a break in the causal chain characteristic of veridical perception. Padmapāda agrees.[28] He too embraces a causal theory of perception (*pratyakṣa*) in general, and as we shall see, much of his explanation of individual instances of illusion relies on the identification of causal factors. His disagreement with the *smṛtipramoṣakhyātivādin* is limited to the characterization of the mental life.

THE "OBJECT" OF AN ILLUSION

Padmapāda, we have seen, in part uses a linguistic argument to refute the *smṛtipramoṣakhyātivādin*: we say '*dam rajataṃ*' "this silver," not '*tad rajataṃ*' "that silver," when presented with what we take to be silver, whether the presentation be illusory or veridical. What then is the reference of the term '*idam*' the "this" used as an ostension? Padmapāda sees the thing (*viṣaya = artha = ālambana*)[29] pointed to as the presented "silver" supported by the real mother-of-pearl (*śuktigatamithyārajata*). Here he is opposed first of all by "realists" who espouse *anyathākhyātivāda*, "the view that illusion is the perception of something as otherwise (than the way it is in fact)," for example, certain Naiyāyikas or "Logicians." His attack against this view reveals the extent to which Padmapāda is a "phenomenalist." My reading is that he is a phenomenalist on the issue of the criterion of the *ultimately* real. But although his is a radical phenomenalism on that issue, it is hardly thoroughgoing or comprehensive: his ontological position is

peculiarly Advaitic, having little in common with the Western subjectivist systems (such as Berkeley's) that espouse a phenomenalist position on the issue of the criterion of the real.

The opponent's *anyathākhyātivāda* is presented as a naïve realism, though one with a peculiar wrinkle. Padmapāda's opponent claims that the illusory cognition not only presents something real, the something *can satisfy desire*. In the stock example, the deluded person on the beach would be seeing a real piece of silver in the marketplace through some bizarre extension of his normal power of sight. (And he would not realize that he has such capability—unless he were an astute philosopher.)

Padmapāda pokes fun at the view so rendered, except for its understanding of the nature of an "object" of a (perceptual) cognition (whether illusory or veridical). This is the idea that such an "object" is presented as something toward which purposeful activity *might* be directed. The Buddhist Dharmakīrti and the Naiyāyikas argue that "*arthakriyā*," "causal efficiency" and "capacity to fulfill an aim," is the mark of a true "object" (or real thing, *vastu*) in that a real thing is capable of satisfying desire and thus is *appropriately* sought in action.[30] In other words, according to Dharmakīrti and the others, whom I see as "pragmatists," something is real just in case it can satisfy a desire. A mirage is not real just because it will not quench thirst. Nor is there a danger that one could be bitten by the snake of the "snake-rope" illusion. Thus the Indian pragmatists have a "holistic" notion of experience such that experience would involve activity in the world, and, more precisely, interaction with worldly objects.[31] Padmapāda, on the other hand, does not use the term '*arthakriyā*', and incorporates only as much of the theory as suits his purposes: instead of '*arthakriyā*' he uses the term '*vyavahārayogya*', "suitable (as the object of) [illusory] worldly activity."[32] The term '*vyavahāra*', "worldly activity," is used by Advaitins to designate the illusory world of our everyday experience in contrast to the transcendant reality of the Absolute, Brahman. Thus this usage shows that Padmapāda does not believe activity has anything to do with the means whereby the real is to be discerned. Although the expression echoes the pragmatists' position, for Padmapāda it means only that a perceptual presentation is a presentation of something that appears as though it could be an object of purposeful activity. But "purposeful activity" is itself illusory from the sublating perspective of the single Self. All worldly activity is *māyā*,

"illusion," according to Padmapāda, and is revealed to be so by the sublating cognition that simultaneously reveals *brahman*.[33] Consonantly within the "*vyavahārika*" perspective, the means whereby an illusory object (of the "silver" and "snake" sort) is discerned as such is, he says, not interaction but a sublational cognition, for example, as expressed in the judgment "This is mother-of-pearl." Thus the point is that according to Padmapāda the illusory silver is *presented* as an appropriate object of desire. One does not find out that it is incapable of fulfilling desire until one has a sublating experience that shows it to be unreal. Not the capacity of the object to fulfill desire is the criterion whereby veridical and illusory experiences are to be discriminated. Rather, only a further experience can be the basis for that determination—at least with illusions of the silver-mother-of-pearl sort (we shall see that Padmapāda distinguishes between two broad types of illusion and that it is only with regard to one of these that the character of the immediate presentation is all-decisive). Padmapāda goes no further in his embrace of the notion *arthakriyā* than to hold that the object (*ālambana*) *appears* as an appropriate object of desire. This, in his view, is only a matter of phenomenal fact, with no special ontic relevance. The contrast of Padmapāda's phenomenalism with the pragmatism of this group of opponents is extremely important, and we shall return to it in evaluating his theory in the last section.

Yet despite his stance on "*arthakriyā,*" Padmapāda's phenomenalism is limited. The "silver-mother-of-pearl" (also "snake-rope") type of illusion is, he says, the appropriate analogy for the metaphysics of Brahman, but it differs crucially from a second type that he identifies. Four examples of this second type of illusion are given: (1) the bitter taste of something sweet to a person with hepatitis ("diseased with bile"), (2) the sight of a double moon (*dvicandra*) by an astigmatic, (3) the red appearance of a crystal because of the proximity of a red flower, and (4) the reflection of an object in a mirror. These are presentations that remain false, Padmapāda points out, even after one understands that they do not present a true reality, unlike the case of the snake and the rope.[34] One can know that these presentations are false (*mithyā*) while they remain immediate presentations.

Padmapāda does not give full details about how this is possible, beyond distinguishing between the two kinds of illusion. To be sure, he finds other *pramāṅa*-s, "means of knowledge," and it is in particular the *pramāṇa* inference (*anumāna*) that appears to be operative in this "counter-

intuitional" discernment. Further, the inferences here are drawn based on causal relations.[35] But "Why are there means of knowledge in addition to the character of experience?" and "How are these *pramāṅa*-s related one to another?" are questions that Padmapāda does not directly address, although, as I shall argue, on the latter question he appears to have a pretty definite view.[36] There is a tension in Padmapāda's position: sense perception (*pratyakṣa*) provides a reason to believe that, for example, the crystal is red, while inferential reasoning based on causal relations urges that such an appearance is false. Why should the character of an immediate presentation be the criterion of the real in some instances but not in all? Padmapāda's commentators give more thought to the question than does Padmapāda himself, but the groundwork for a response is indeed present in his distinction of the two types of illusion—along with his complex use of the distinction in explicating the metaphysics of Brahman.[37]

The presentations of the second type of illusion (the red crystal, and so forth) are relational (*sopādhika*); their very nature invites reflection on the relations of one thing to another. Indeed, experience itself teaches that sense presentations in general are mediated by complex causal factors. But all this causal interaction is conditioned by the polemics of the first type of illusion, which is relationless (*nirupādhika*).[38] Recall that Padmapāda accepts that the object of a perception *appears* as an object of purposeful activity, while viewing the entire realm of activity as illusory. In parallel fashion, he sees objects as standing in a causal chain that involves the sense organs while he also maintains that the entire nexus of causal relations in negated in the Self's true perception.

The causal nexus is complex on Padmapāda's account. The presence of the object is a necessary but not a sufficient condition for the perception of it.[39] Many contributing factors are identified: a causal theory of perception (embraced by many of the Indian schools with variations) is by the time of Padmapāda already quite developed. The object perceived, along with many variables pertaining to distinct kinds of objects, light (or another medium), the sense organ, subliminal impressions, the internal organ (*manas*), and the self are all necessary factors. (We might call this Advaita *psychology* of perception, except for the factors relating to external objects such as the transparency of a crystal.)[40] Through identifying the conditions (*upādhi*) that influence perception, Padmapāda can agree with many of the rival

thinkers that the reason that, for example, a person diseased with an excess of bile sees white things as yellow is a defect in the sense organ; likewise with other illusions of the *sopādhika*, "relational," type. But the entire causal nexus is subject to a sublation of the "snake-rope" (*nirupādhika*) sort.

THE "SUPPORT" AND "LOCUS" OF AN ILLUSION

One factor that is common to all illusions, whether relational or not, and indeed common to all cognitions, is the presence of a *real* "locus" and "support," *ālambana* (or, less ambiguously, "*adhiṣṭhāna*" and "*āśraya*").[41] This stands as an empirical generalization, and Padmapāda refutes a counterexample that purports to show that there are presentations that have no locus.[42] He also puts forth a linguistic argument in support of the claim: a judgment that expresses a sublational cognition invariably makes reference, at least implicitly, to a locus where the change occurs.[43]

Now in ordinary experience, the locus of the object of a cognition is either (a) external—a physical (*jaḍaka*) object—as exemplified in sensory cognitions, or (b) internal, as exemplified in dreams. Padmapāda in discussing dreams (as examples of illusion) says that he does not want to quibble over the terms '*antar*' and '*bahir*', "internal" and "external." Though he does view the self as internal, like dream objects and unlike physical things, his chief concern is to defend the position that—from the metaphysical perspective—the presentations both of dreams and of waking experiences have consciousness (*caitanya*) as their support (*āśraya*):

Even in the waking state [as well as in dreaming] the immediacy [of consciousness—"*aparokṣatā*"] that involves [external] objects is not to be distinguished from inner immediate experience (*anubhava*)—[at least not] according to [any] cognition that is valid—for they are presented in the same way. Thus an object even in the waking state is experienced invariably (*eva*) as intimately associated with inner immediate experience. Otherwise the presentation of the material world would be impossible. As a pot that is covered (*avaguṇṭhta*) by darkness is not presented [to cognition] without the [counter-]covering (*avaguṇṭhana*) of the light of a lamp, so it is here.[44]

From the metaphysical perspective, the Self, that is, Brahman, is the locus and support of *māyā* the cosmic illusion, and this reality (*pāramārthikatva*)

is thought to underlie every worldly appearance. Although the externality of the "locus" in waking experience is a dimension to be sublated, a real locus is said to remain even after the ultimate sublation. Padmapāda's stress on an invariable presence of an *adhiṣṭhāna* in all instances of cognition, to include the worst illusions, is married to his view of Brahman as the "ground" of all phenomena and their "material cause."[45]

In this way, Padmapāda presents his understanding of the central doctrine of Advaita, namely, the identity of the self with Brahman. And indeed the famous *ātman-brahman* equation of the Upanishads appears to be understood similarly throughout Advaita, that is, with the *brahman*-factor understood as the "ground" or "locus" of all phenomena.[46] The connotations of the terms used in the passage just translated reinforce the stress on the idea that all cognitions involve a locus: both darkness and light are thought of as "coverings" (*avaguṅṭhana*). Everything "objective" except the locus and support in all cognitions is similarly a matter of "covering" and can be removed in a sublational experience of the snake-rope sort—so that only the bare "locus" and "inner immediate experience" would remain.[47]

Padmapāda does not present an empirical argument for the ultimate identity of all objects with a single locus-support—namely Brahman—and relies instead on *śruti* "scripture." But he does argue defensively, pointing out that because dream and external objects are presented in the same way[48] there is no reason (*pramāṇa*) to believe that external appearances have anything other than the self for their locus-support.[49] Thus his point is that this ultimate identity is *possible*.[50]

A SUMMARY AND AN APPRAISAL

We have seen that Padmapāda distinguishes two kinds of illusion and that it is only the relationless ("snake-rope") sort that is the proper analogue for the "relation" between Brahman and one's experience of the everyday world. In this final section, I want to focus on the metaphysics and in particular on Padmapāda's use of an illusion analogy to explain the relation (or nonrelation) of Brahman, the Absolute, to *māyā*, the cosmic illusion. I shall also say a word about what appears to be wrong with his theory.

The central conception—what makes this "illusionist" world view click in Padmapāda's mind and provides the key to its structure—is, I believe, the notion that everything except the self (or cognition itself) is a candidate for sublation (*bādha*) within the invariable presentation of a "locus"—in other words, that only the self is not a candidate for the sort of change in the phenomenal character of experience that occurs when one ceases to see the snake and sees instead the rope as it is.[51] The notion that only (a) the self and (b) the locus-support of a cognition (the two are thought to be identical) are unsublatable is the linchpin of the system. To change metaphors, it is this idea that undergirds the remarkable statement of Śaṅkara's that perception and all the other *pramāṇa*-s, "means of knowledge," including scripture (*śāstra*), are dependent on the presence of *avidyā*, "nonawareness [of oneself as Brahman]";[52] that is to say, their operation presupposes the condition of *māyā*. This statement is remarkable, and a *fortiori* Padmapāda's embrace of it, because of Śaṅkara's concern with giving reasons (that is, "*pramāṇa*") for his views, a concern that Padmapāda expands a thousandfold. How can a view be rational that purports to transcend the canons of rationality—or criteria for warranted belief—including, to be sure, scripture?

Now the topic of the foundations of the Advaita world view, whether scriptural revelation, reason, mystical experience, or some combination of these, has been amply discussed in recent, and not so recent, scholarly literature, both in the West and in India.[53] My intention is not so much to contribute further reflection on this topic, though, as I have said, I shall not hold back my opinion about the merits of Padmapāda's theory, but to question whether the ideas about sublatability really show the possibility of a single Self excluding the world, as Padmapāda claims.

First let us summarize his most abstract positions. The Advaita doctrine championed by Padmapāda is that everything except the self-luminous character of the self, its intrinsic awareness of itself as aware (*svayamprakāśamāna*), is sublated—within the invariable "locus"—in the ultimate "knowledge" (*vidyā*), even the phenomena of thought processes, emotions, and desires, even the profound mystical appearance of an *īśvara*, "God."[54] Unlike Vācaspati, who holds that Brahman always carries within its supreme self at least the "potencies" of world forms,[55] Padmapāda holds —in consonance with his idea of *mukti*—that the ontic status of the world is

simply that it does not exist; it is only *māyā*, like the illusory snake.[56] All appearances of "otherness," including that of an *īśvara*, similarly are not veridical; there absolutely are no other things than Brahman, the Self. This radical "illusionism" is the distinguishing mark of Padmapāda's interpretation of Śaṅkara.

I admit that he also gives, as Karl Potter points out,[57] an interesting cosmology and theory of how Brahman comes to appear as *māyā*, and this involves both a notion of an *īśvara* and the concession that it is Brahman itself that suffers *avidyā*, "nescience."[58] Prakāśātman takes this theory as the point of departure for his own much more realistic view of world appearance. But the passage in the *Pañcapādikā* presenting these ideas is exceedingly brief and, in effect, a digression.[59] Moreover, as Prakāśātman *rightly* explains, the key idea in this regard is that Brahman can undergo the sort of change that is typical of *illusory* presentations without relinquishing its native state.[60] The way that the passage (*Ppk* 98–99) connects with the main line of thought reinforces this emphasis: near the end it is proclaimed that "ego-sense" (*ahaṃkṛa*, which is said to be foundational for much appearance) is illusion only, and an analogy to the illusion of a red crystal is made. Now the red-crystal illusion is "relational," and correspondingly Padmapāda holds that ego-sense is related to a more primal "nescience," *avidyā*. The point is that what then follows is further discussion of relationless illusion as the way to understand *avidyā*. Finally, the ontic status of *avidyā* is declared to be, as already noted, illusion alone. This means that it exists as long as one is caught up in it. But with liberation, it disappears.[61]

The metaphysics is thus a radical "illusionism," and the quasi-theistic cosmology bound up with the notions of "*jñānaśaki*" and "*kriyāśakti*" Brahman's powers of knowledge and (creative) action, would be better attributed to Prakāśātman, the preeminent "Vivartavādin."[62]

Let us return now to the question of whether Padmapāda demonstrates the possibility of this "Brahman." The idea that the self and the locus-support are unsublatable while everything else is—conceived on analogy to the relationless sort of everyday illusion—is supposed to secure the possibility (*sambhava*) of the single and absolute reality of Brahman excluding the world. Scripture (*śruti*) indicates that the possibility is actual; or at least, this is the official position of both Śaṅkara and Padmapāda. Both

of the Advaitins also appear to hold that a mystical experience (*brahmasākṣātkāra*)—revealing *brahman* as sense experience reveals everyday objects—is the theory's consummation, and even "confirmation"; thus unofficially and in a peculiar way both appear to believe that there is mystic "evidence" for the theory.[63] In any case, the possibility of the truth of the metaphysics is to be secured by the ideas about sublatability, and the truth itself by scripture or extraordinary experience. The prior question is then whether these ideas do their job.

Now insofar as Padmapāda is correct in understanding the snake-rope type of illusion to be "relationless," he would be able, first of all, to maintain a pure phenomenalism on the criterion issue—at least at its highest level (*pāramārthikasat*) —and exclude causal factors. Without relations (other than the identity relation exemplified in the proposition that *ātman* is *brahman*), there can be no basis for the discernment of causal factors conditioning the veridicality of an immediate (mystical) presentation, in the imagined experience of "*mukti*."

Similarly, there would be no basis for a supposition of "otherness," since this would require a presentation of things in a relation other than that of identity. Indeed, the claim about possibility is very strong. It is, again, that on analogy to the type of sublation that occurs when the snake is seen to be not the rope it was formerly taken to be, it becomes imaginable—however remotely—that I am deluded right now and that *nothing* that I take to be real on the basis of my present experience (the chair here, the piece of paper, and so forth) is indeed real, except my own subjectivity. With all candidates that involve relations excluded, the only thing not possibly sublated would be the subject's immediate and unreflective awareness of itself (*svayamprakāśamāna*). The snake-rope type of sublation is taken to show that it is possible that some future experience of my own could reveal the illusoriness of *everything* in my present experience, except that dimension which is the awareness's awareness of itself including, to be sure, the presentation of a real thing as its "support."[64]

But, let us ask, is there not in the sublational cognition revealing the rope a presentation of relations among things—between the rope and our bodies, for example? The rope is useful and would not bite were we to pick it up. Padmapāda himself responds to a similar question.[65] He tells us not to take the specific analogy too seriously. Of course, he has to have an analogy, otherwise he would have no argument and no demonstration that the

identity of the self with Brahman excluding the world is possible. So he offers us another analogy: space and the space inside a pot. There are in reality no relations (other than identity) obtaining between universal space and the space that we arbitrarily delimit as that inside a pot.[66] This analogy is taken to illustrate the idea that any presumption, and perception, of things *in relation* could be false (*mithyā*). And I must say that I see no reason why we should not agree. The chief difficulty I find is not that all presentation of relation *could* appear to be negated experientially, but that the austere self-experience that he imagines could not. Let me explain.

The polemics of sublatability are very profound. In modern Western thought, this has been brought out by Descartes and his thought experiment of possible deception by a devil. He imagines, that is, deems it possible, that a devil could be deceiving him with illusory sense presentations. (Nowadays philosophers bring out the same idea with talk of "experience tanks" or the like: "Superduper neuropsychologists could stimulate your brain so that you would think and feel you were writing a great novel, or making a friend, or reading an interesting book. All the time you would be floating in a tank, with electrodes attached to your brain."[67]) Padmapāda's illustrations do not appear to me to be as vivid as Descartes', but this hardly matters. He has a similar argument. What presentation of experience could not possibly be sublated, as an illusory appearance of silver by a veridical appearance of mother-of-pearl, by some further experience? In respect to what dimension of experience is it *impossible* to imagine that one is deceived? Surely not any particular presentation of things in relation. Is it not imaginable that there be a cognition that involves a self-awareness but not anything external to oneself? (Yogic trance, or "deep sleep," might be an example of this.)

As I see it, the problem is not with imagining an apparent disappearance of the external world in a cognition of "self-absorption," but with the notion that the self-absorption is unsublatable.

One of Padmapāda's great themes is, as we have seen, the unity of cognition. It is evident in his notion of "memory-impregnated" cognitions, which we reviewed, and in many other details of his theory of experience. His claim is that there is a possibility of a cognition that is unitary to the ultimate degree. What would it be like? It would be the barest bones of a cognition. It would be an awareness of itself and a sense of its own reality as its own "locus" and "support." I find all these ideas intelligible and this

state of "*mukti*" imaginable—so long as the conception is restricted to the psychological and no notion of *brahman* is implied. More about this in a moment. But if one could "pop" into this supreme self-absorption, why couldn't one also pop out? There is no end to the regress of possibilities of experiential sublation.

Padmapāda takes the unsublatability of the self to show the possibility of a true ultimacy of experience. But the idea shows only the trap of the "solipsistic" ultimacy[68] of an extreme and "one-dimensional" phenomenalism. The metaphysics would hoist itself by its own petard: the very logic of sublatability requires that in the negation of world appearance in a unitary cognition of self all means of knowledge (*pramāṅa*) would be inoperative. The picture is thus a potent trap.

Does the objection that hinges on the sublatability of "self-absorption" presuppose a view of temporal relations among cognitive moments, in that it is thought that a further sublational cognition could *follow* the salvific experience? Yes, it does. Well, the salvific experience is presumed to transcend temporal relations, and thus the objection is not cogent. No, it is cogent. Every dimension of everyday experience that is imaginable as sublatable in the supreme self-absorption is also imaginable as again present in some ensuing experience—imaginable not, to be sure, on the part of the "liberated" person, but on all our parts. Neither Padmapāda nor any of his commentators, so far as I am aware, considers this point—absorbed as they are in the *picture* of self-absorption.

But has not Padmapāda identified factors that are *essential* to all cognition, namely, self-awareness and the presentation of a locus, and would not a cognition limited to these essentials thus indeed be a stop in the regress of sublatability? No. Often we are absorbed in objective presentations, and have no awareness of ourselves. Also, our everyday self-understanding is far richer than that which is reflected in Padmapāda's notion of intrinsic self-illumination. All that Padmapāda has shown is that we are potentially self-aware at any moment, or perhaps that there is no possibility of any other type of awareness without this potentiality of self-awareness (the central doctrine of Kants *Critique of Pure Reason*, according to some interpreters). The self may be self-illuminating, *svayamprakāśamāna*.[69] And the potentiality of this profound intuition of self may be as constant as the Advaitins think it is. But there is nothing in the idea that suggests that such an intuition could not be followed by a

fuller experience of self—such as we have of our own bodies and our "being-in-the-world." Thus there is no reason to suppose that a cognition that has only itself as its object as well as its "locus" and "support" is not also a candidate for sublation. This is the fundamental failure of the theory.[70]

There is also an equally grievous instance of incoherence, related to this phenomenological misconception. Padmapāda's notion of the unity of the self and Brahman believed to be evident in a mystical experience is unintelligible, that is, *not* imaginable, because Brahman is considered the *adhiṣṭhāna* and *āśraya*, "locus" and "support," of *all* things. In other words, Padmapāda cannot show that a cognition of the self and Brahman negating the world is possible because Brahman is conceived as the locus-support of all worldly things. For *Brahman* to be presented as identical with a state of self-absorption would require some kind of reference to worldly things, and in the state of *mukti* as Padmapāda conceives it there is none such. Thus we can construct a "pragmatist" objection (invoking the tradition of Dharmakīrti and others) that would run as follows. With everyday illusions, even of the radical "relationless" sort—best exemplified, I would say, not in a snake-rope sublation but in waking from a vivid dream—a judgment of illusoriness can be secured only by an experience involving interaction or interrelation. Since there is imagined no interaction or interrelation in the state of self-absorption, it is unimaginable that Brahman, by definition the locus-support of all things, could be revealed therein. Thus Padmapāda must needs fail in his attempt to show that a cognition revealing all things to be *māyāyika* could occur.

NOTES

1. In developing an illusionist metaphysics and soteriology, the Advaitins draw deep from a common well of Indian religious conceptions. See the *Majjhima-Nikāya*, Sutta 26, for an example in the Buddhist tradition—outside Vedāntic "scriptures." Then for an early and particularly striking example within Vedānta, see *Bṛhadāraṅyaka Upaniṣad* 4.3.9–22.

2. *Brahmasūtrabhāṣya* (hereafter cited as *BSB*), in *Brahmasūtra-Śāṅkarabhāṣyam*, ed. J. L. Shastri (Delhi: Motilal Banarsidass, 1980; originally published (2d ed.) Bombay: Nimaya Sagar, 1909), 1.1.1, pp. 4–9.

3. The choice of the term '*adhyāsa*,' "superimposition," to designate illusions reflects Śaṅkara's metaphysical views. Illusions are more neutrally referred to as "*viparyaya*" and "*bhrānti*." (Later, in fact (*BSB* 1.1.4, p. 69), Śaṅkara uses the term '*bhrānti*': "*sarpabhrānti*," "the illusion of the snake.")

4. E.g., *Upadeśasāhasrī* 2.2.51–55 (in the translation by Sengaku Mayeda, *A Thousand Teachings* (Tokyo: University of Tokyo, 1979), pp. 235–236.)

5. *BSB* 1.1.1: *sarvathā api tu ... na vyabhicarati*.

6. N. K. Devaraja, in *An Introduction to Śaṅkara's Theory of Knowledge* (Delhi: Motilal Banarsidass, 1962), is able to present Śaṅkara's views as an intricate epistemological system because he expounds the opinions of a whole host of Śaṅkara's followers—while not always crediting their originality and overvaunting the achievements of Advaita's "founder." Some others do this as well, apparently following the tradition among the classical thinkers of all schools of achronistically attributing sophisticated positions to the earliest documents, and in particular to the "sūtras," of each school. Of course, there has appeared a considerable amount of excellent scholarship on Śaṅkara, including in part, to be sure, this book of Devaraja's.

7. Because of the enormous popularity of the *Vedāntaparibhāṣā*, its author Dharmarājādhvarīndra must be viewed as the preeminent systematizer of Advaita epistemology, although it may be, as Surendranath Dasgupta claims in the "Forward" to Swami Madhavananda's edition (Howrah: Ramakrishna Mission, 1972), that he is heavily dependent upon Rāmādvaya's *Vedānta Kaumudī*. Cf. Dasgupta's discussion in his *A History of Indian Philosophy*, vol. 2 (Delhi; Motilal Banarsidass, 1975), pp. 204–214.

Note that in the introductory verses Dharmarājādhvarīndra does say that philosophy should be concerned with the *paramapuruṣârtha*. He also elaborates the idea in his book's last chapter. Nevertheless, the book is dominated by epistemological concerns, not soteriological ones.

8. See, for example, *Vedāntaparibhāṣā* 1.55. Note further what Karl Potter says in the "Introduction" to the volume of *The Encyclopedia of Indian Philosophies* (Delhi: Motilal Banarsidass, 1981) devoted to Advaita Vedānta (vol. 3): "It is Padmapāda who pioneers the epistemology we … associate with Advaita. He provides the bridge between Śaṅkara and later Advaita, which is obsessed with epistemology as Śaṅkara was with the contrast between knowledge and action" (p. 73). Also interesting is Paul Hacker's general statement on Padmapāda's originality: "Im ganzen können wir sagen, dass Padmapāda ein schlechter Kommentator, dafür aber ein um so selbständigerer Denker ist" (*Untersuchungen über Texte des frühen Advaitavāda: l. Die Schüler Śaṅkaras* (Wiesbaden: Akademie der Wissenschaften und der Literatur in Mainz, Abhandlungen der geistes- und sozialwissenschaftlichen Klasse 1950, no. 26), p. 27).

9. Viz., *Sarvadarśanasaṃgraha*. Note that Mādhava's *Vivaraṇaprameyasāmgraha* has been translated by S. S. Suryanarayana Sastri and Saileswar Sen, Andhra University Series, no. 24 (1941), and they attribute it to "Bhāratītīrtha."

10. See E. P. Radhakrishnan, "The Pañcapādikā Literature," *Poona Orientalist* 6 (1941–1942): 57–73.

11. E.g., ibid., pp. 58–59.

12. Prakāśātman has a "tiered" ontology, and views the sublation of world appearance in Brahman-experience as showing that the world has no absolute reality but not—as Padmapāda holds—as involving its disappearance; see the final section of this article. Note that Prakāśātman's *Vivaraṇa* stands in a complex relation to Padmapāda's work, and it is far from a sentence-by-sentence gloss.

BSB   *niyama*

apratyakṣe 'pi hy ākāśe bālās talamalinalâdy

adhyasyanti   *vyavahāraḥ sambhavati*

tasmāt

14. There have been, however, some notable efforts in Padmapāda scholarship. Many of the general historians of Indian philosophy have given serious attention to the Advaitin. For example,

Surendranath Dasgupta claims to base his exposition of Śaṅkara's views in volume 1 of *A History of Indian Philosophy* (Cambridge: Cambridge University Press, 1969) on Padmapāda's and Prakāśātman's commentaries. Also, Karl Potter often refers to Padmapāda's views in his long introduction to the Advaita volume of *The Encyclopedia of Indian Philosophies*. He also provides there a thirty-odd page summary of Padmapāda's major work, the *Pañcapādikā*. The most significant contribution in English to scholarship on Padmapāda is D. Venkataramiah's translation of the *Pañcapādikā*, Gaekwad's Oriental Series, vol. 107 (Baroda: Baroda Oriental Institute, 1948), along with the accompanying notes. Venkataramiah's notes often elucidate obscure passage, but sometimes they reflect the views of later Advaitins who are unacknowledged. They also suffer, as does the translation, from Venkataramiah's lack of command of the technical philosophical vocabulary in English. (Potter's summary on this score represents a great advance.)

But despite these works, Padmapāda has not received the attention he deserves. As Karl Potter's bibliography shows, Advaita scholarship has focused principally on Śaṅkara, with Padmapāda enjoying about one percent of the amount of attention that his teacher has received: *The Encyclopedia of Indian Philosophies*, rev. ed. (Delhi: Motilal Banarsidass, 1980), vol. 1, lists more than four hundred secondary works on Śaṅkara, while only seven pieces are listed for Padmapāda. Let me add that there is good German scholarship on Padmapāda, and on Prakāśātman: most notably, Paul Hacker's *Untersuchungen über Texte des frühen Advaitavāda*, pp. 1927–1933 and 2014–2061, and *Vivarta* (Wiesbaden: Akademie der Wissenschaften und der Literatur in Mainz, Abhandlungen der geistesund sozialwissenschaftlichen Klasse 1953, no. 5), pp. 36–41; and Klaus Cammann, *Das System des Advaita nach der Lehre Prakāśātmans* (Wiesbaden: Harrassowitz, 1965).

15. The *Pañcapādikā*, ed. S. Srirama Sastri and S. R. Krishnamurti Sastri, Madras Government Oriental Series 155 (1958), part 1, hereafter cited as *Ppk*.

16. *BSB* 1.1.1 : *ko 'yam adhyāso ... smṛtirūpaḥ paratra pūrvadṛṣṭâvabhāsaḥ*.

17. *BSB* 1.1.1 : *anyasya anyadharmâvabhāsatām*.

18. Viz., by Prakāśātman in his *Vivaraṅa*, which comprises part 2 of Madras Government Oriental Series 155 (p. 129), and by Ātmasvarūpa and Vijñānātman, MGOS 155, pt. 1, pp. 41 ff.

19. Padmapāda does not identify his opponents by name. Venkataramiah attributes the view to the Mīmāṃsaka Prabhākara (p. 19). It seems likely that Padmapāda had a direct familiarity with Prabhākara, although at least here he does not assume any special understanding of the views that he refutes. In fact, the three opposing views that he takes up are just those that Śaṅkara mentions in giving his "minimalist" characterization.

Prabhākara's view, by the way, is, as noted, also referred to as *a(viveka)khyātivāda*—and rightly so, since as we shall see, a "failure to distinguish" memory from sensory cognitions is one element crucial to the theory.

20. *anyasamprayukle cakṣuṣy anyaviṣayajñānaṃ smṛtir eva, pramoṣas tu smaraṅâbhimānasya. indriyâdīnāṃ jñānakāraṅānāṃ kenacid eva doṣaviśeṣeṅa kasyacid eva arthaviśeṣasya smṛtisamudbodhaḥ kriyaie. samprayuktasya ca doṣeṅa viśeṣapratibhāsahetutvaṃ karaṅasya vihanyate. tena darśanasmaraṅayoḥ nirantarôtpannayoḥ karaṅadoṣād eva vivekânavadhāraṅād dūrasthayor iva vanaspatyoḥ anutpanne eva ekatvâvabhāse utpannabhramaḥ* (*Ppk* 42–43).

21. *Ppk* 51 and 55; cf. *Ppk* 40.

22. *Ppk* 46.

23. *Ppk* 45.

24. *Ppk* 45.

25. *Ppk* 47.

26. *dṛṣyate ... liṅgajñānasaṃskārayoḥ liṅgijñānôtpādanam, pratyabhijñānôtpādanaṃ ca akṣasaṃskārayoḥ. ubhayatra api smṛtigarbham ekam eva pramāṅajñānam. saṃskārânudbodhe tadabhāvāt na punaḥ jñānadvaye pramāṅam asti* (*Ppk* 53).

27. But see *Ppk* 52.

28. *Ppk* 51 ff and many other places.

29. See note 41 following on the ambiguity in these terms.

30. Venkataramiah attributes this view to the Naiyāyikas (p. 25), but it appears to originate with Dharmakīrti. See Masatoshi Nagatomi in "Arthakriyā," *Adyar Library Bulletin* 31–32 (1967–1968): 52–72, who identifies both senses of the term in Dharmakīrti's writing.

31. A favorable comparison to such twentieth-century Western philoso/philosophers as John Dewey and W. V. Quine might be made in regard to their criticism of the phenomenalism of Berkeley and Hume.

32. *Ppk* 48.

33. Although there is a difference in connotation, the terms '*māyā*' and '*vyavahāra*' are used synonymously by Padmapāda, as by most Advaitins.

34. *Ppk* 98–113.

35. Padmapāda many times says explicitly that causes may be inferred from effects, e.g., in *Ppk* 51. Note that it was again Dharmakīrti who brought out to the Indian philosophic community the causal underpinnings of many inferences. It is because fire is the cause of smoke, necessary to its presence, that one may reason validly from the premise that there is smoke on the mountain to the conclusion that there is fire there too.

36. Śaṅkara says at *BSB* 1.3.20 that perception (*pratyakṣa*) is independent in its operation, while the other *pramāṇa*-s, in particular inference (*anumāna*), are dependent on perception. Padmapāda's commentary does not extend as far as this passage, but there is no reason to believe that he does not also see perception as having this privileged "foundational" status. Indeed, his phenomenalism with respect to the ultimately real dovetails with this position. But I have found no explicit statement in a passage that is clearly not a "*pūrvapakṣa*."

37. *Ppk* 70–71 and 98 ff.

38. Padmapāda does not use the word '*upādhi*' here, but he does use '*upadhāna*' (*Ppk* 102), a word that derives from the same verbal root, '*dhā*'. (The commentators prefer the former term, possibly through the influence of the Naiyāyikas, and interpret the two terms as virtual synonyms.) Also, and this is the important exegetical point, Padmapāda clearly expresses the idea of conditioning relations. Often he does so through forms of the verb '*apekṣ*', e.g., in *Ppk* 54–55. In this passage (*Ppk* 54–55) and later in expositing the metaphysics of the self (*Ppk* 112–113), he pellucidly expresses the idea of "relationless" sublation. (Note that Śaṅkara himself uses the term '*nirupādhi*' in this sense, e.g., in *Muṇḍakôpaniṣadbhāṣya* 2.2.4.)

39. *Ppk* 54 (reading '*āloka*' for the misprint '*aloka*': when "light" is absent one cannot see an object that is present).

40. Padmapāda's clearest statement of the mechanics of perception occurs at *Ppk* 114–117. Here we may note that Sengaku Mayeda's paper, "The Advaita Theory of Perception," *Wiener Zeitschrift für die Kunde Südasiens und Archiv für Indische Philosophie* 12–13 (1968–1969): 221–240, is an excellent reconstruction of the Advaita psychology (as opposed to epistemology and phenomenology) of perception, although he too concentrates on Śaṅkara's views somewhat at the expense of the more developed theory in later Advaita.

41. *Ppk* 52: *mithyâlambanaṃ jñānaṃ mithyājñānam*, "An illusory cognition is a cognition that has an illusory object." Thus one might think that the term *ālambana* invariably means "presented object," and would refer to that which the presentation ('*avabhāsa*' or *prakāśa*) would be *of*. But Padmapāda sometimes uses the term to mean "locus" and "support" instead. Two other terms used regularly, '*viṣaya*' and '*artha*', have potentially the same ambiguity.

42. *Ppk* 63.

43. *Ppk* 64–65.

44. *jāgaraṇe 'pi pramāṇajñānād antaraparokṣânubhavāt na viṣayasthā aparokṣatā bhidyate, ekarūpaprakāśanāt. ato 'ntaraparokṣânubhavâvaguṇṭhita eva jāgaraṇe 'py artho 'nubhūyate.*

anyathā jaḍasya prakāśânupapatteḥ. yathā tamasā 'vaguṅṭhito ghaṭaḥ pradīpaprabhâvaguṅṭhanam antareṅa na prakāśībhavati, evam (*Ppk* 57–58).

45. Doubtless, some of this emphasis is due to Padmapāda's desire to refute the Mādhyamika Buddhists. These so-called "nihilists" hold that there is no ultimate support for appearances: the self is really *śūnya*, "nothing." To contradict this view Śaṅkara uses the term '*paratra*', "in something else," in characterizing illusion, Padmapāda says. The first time he stresses the necessity of an *adhiṣṭhāna* is in this context (*Ppk* 61–68), but he stresses it in the later talk about Brahman as well. See *Ppk* 139 ff.

46. The identity statement would not be analytic or epistemically necessary, but synthetic and metaphysically necessary—to use the terms elucidated by Saul Kripke, in *Naming and Necessity* (Cambridge, Massachusetts: Harvard, 1980), Lecture I. Cf. Karl Potter's discussion of the identity statement, in *Encyclopedia of Indian Philosophies*, vol. 3, p. 73, and Wilhelm Halbfass, *Studies in Kumārda und Śaṅkara* (Rienbek: Wezler, 1983), pp. 54–60.

47. Sometimes it seems to me that this is a metaphysics of the locative case. Note that Śaṅkara's use of '*paratra*' in his first characterization of *adhyāsa* is brilliantly suggestive: the "something else" which the illusory object appears *in* is—from the metaphysical perspective—Brahman, and '*paratra*', like all forms of '*para*', has the connotation of "supreme, highest, preeminent" as well as "remote" and "beyond."

48. But are they? Dreams do not exhibit the same degree of continuity as waking experiences. Moreover, the only way we know (or could know) that dream objects have the self as their locus-support is *with reference to* waking experiences. The fact that Padmapāda misses these points is another indication of his radical (and misguided, as I shall show) phenomenalism on the issue of the criterion of the ultimately real.

49. *Ppk* 57.

50. We can understand now why Padmapāda feels no need to use different terms for (a) the presentational object of a cognition (e.g., silver) and (b) the locus and support of a cognition (e.g., mother-of-pearl): these are ultimately identical. We remarked that the terms '*ālambana*', '*artha*', and '*viṣaya*' are all used in both senses—see note 41 preceding.

51. Śaṅkara expresses the idea of the unsublatability of the self, although not so clearly as Padmapāda, in *BSB* 1.1.1: *aparokṣatvāc ca pratyagātmaprasiddheḥ*; and (much more explicitly) in *Aitareyôpaniṣadbhāṣya*, introduction (*Ten Principal Upanishads with Śāṅkarabhāṣya* (Delhi: Motilal Banarsidass, 1978), p. 325): *utpannasya ca brahmâtmavijñānasy a abādhyamānatvāt*. It is also implicit in the *Bṛhadāraṅyaka Upaniṣād*, 4.3.23–31. Padmapāda presents the idea many times, e.g., in *Ppk* 52: *na svataḥ jñānasya mithyātvam asti, bādhâbhāvāt*. See also in particular *Ppk* 65–66.

52. *BSB* 1.1.1: *avidyāvadviṣayāṅy eva pratyakṣâdīni pramāṅi śāstrāṅi ca*. See also *BSB* 4.1.3: *pratyakṣâdyabhāve śruter apy 'bhāvaprasaṅga iti cet; na, iṣṭatvāt*.

53. Ram Mohan Roy's championing of the rationality of Śaṅkara's Vedānta in the early nineteenth century launched a series of similar defenses in India. See Wilhelm Halbfass, *Indien und Europa* (Basel: Schwabe, 1981), chap. 12, and his later extensive discussion of the entire issue of reason and revelation in the philosophy of Śaṅkara, *Studies in Kumārila and Śaṅkara*, pp. 27–84.

54. *Ppk* 286–288.

55. *Bhāmatī* 1.3.30, in *Brahmasūtra-Śāṅkārabhāṣyam*, pp. 261–264. Note that Srirama Sastri in his Preface to vol. 155 of the Madras Government Oriental Series (in which the *Ppk* appears along with seven commentaries), lists ten principal differences between Padmapāda's and Vācaspati's philosophies, but he neglects this one (pp. xvii–xix). And it should count, I would say, at least in the top three.

56. There are ample indications of both views in Śaṅkara's works. The reason that Padmapāda's teacher makes cosmological statements that spark Vācaspati's interpretation is that he is committed to an idea of invariable perfection for *śruti* from a world-bound perspective. Of course, he nonetheless

believes that *śruti*, like everything that is inessential to the self, belongs to the province of *māyā*. See *BSB* 1.3.30.

57. *Encyclopedia of indian Philosophies*, vol. 3, p. 86.

58. *Ppk* 98–99; and 74: *anādisiddhâvidyâvacchinnânantajīvanirbhāsâspadam ekarasaṃ brahma*.

59. *Ppk* 98–99.

60. *Vivaraṅa*, pp. 653–657. This passage is Prakāśātman's commentary on Padmapāda's understanding of Sūtra 1.1.2 ("[Brahman is that] from which the beginning, etc. of this (world proceeds]") expressed at *Ppk* 300: "*viśva vivartate*." José Pereira has translated this section in *Hindu Theology: A Reader* (New York: Doubleday, 1976), pp. 201–206.

Let me repeat that the idea of "transmogrification" (Pereira's coinage for '*vivarta*')—contrasting with "transfiguration" (*pariṅāma*)—is not pronounced in the *Ppk*. However, that Padmapāda is thinking of Brahman as not losing its native state when he says here (*Ppk* 300) that it is the "root cause" is likely: "*yadavaṣṭambho viśvo vivartate prapañcaḥ tad eva mūlakātaṅaṃ brahma*"—"having this as its support all world appearance unrolls, this alone, the root cause, is Brahman." Nevertheless, the key ideas are "*avaṣṭambha*" and "mūlakāraṅa" not that expressed by the verb '*vivartate*'—whose grammatical subject, moreover, is not "*brahma*' but '*prapañca*', "world appearance." (Cf. *Ppk* 56: … *aparokṣacaiianyasthâvidyāśaktir ālambanatayā vivartate*, "the power of '*nescience*' stationed in immediate awareness 'transmogrifies' as objects.")

Let me add that I find Prakāśātman's ideas here of particular interest, since it is on the issue of whether Brahman "transfigures" and/or "transmogrifies" that Aurobindo, that premier mystic Brahmavādin of our century, takes himself to depart from Śaṅkara. (I do not believe however that Aurobindo had a direct familiarity with Prakāśātman's work.) For Aurobindo's theory of Brahman's *real* "evolution" (and "involution") in world forms, see *The Life Divine* (Pondicherry: Sri Aurobindo Ashram Trust, 1973), pp. 295–321, 439–481, and 834–835. Cf. my "Aurobindo's Concept of Supermind," *International Philosophical Quarterly* 25, no. 4 (December 1985): 410–416, and my *Aurobindo's Philosophy of Brahman* (Leiden: Brill, 1986), pp. 124–131.

61. *Ppk* 66–67. An indication that Padmapāda does not take his own "cosmology" seriously is that in this passage (*Ppk* 66) he says that the occurrence of the cosmic illusion is "inexplicable," *anirvacanīya*.

62. Cf. Klaus Cammann's discussion, in *Das System*, pp. 124–128.

63. I discuss the implicit "mystic empiricism" of Śaṅkara and various "folk Vedāntins" in "Is Sri Aurobindo's Philosophy Vedānta?" *Adyar Library Bulletin* 48 (1984): 1–27, and in my book, *Aurobindo's Philosophy*, pp. 67–73.

Anantanand Rambachan has attempted to depreciate "experience" (*anubhava*) in Śaṅkara's soteriology and correspondingly to appreciate "scripture" or "revelation" (*śruti*). See "Śaṅkara's Rationale for Śruti as the Definitive Source of Brahmajñāna: A Refutation of some Contemporary Views," *Philosophy East and West* 36, no. 1 (January 1986): 25–40. Now *śruti* is indeed according to Śaṅkara an indispensable means both (1) to have a right intellectual understanding of the self and (2) to achieve an existential knowledge (*vidyā*) of *brahman*. But it is important to distinguish these and to see that the value of the intellectual knowledge is thought of as only instrumental, as deriving from its role in the attainment of *brahmasākṣātkāra*, "immediate *brahman*-experience." The intellectual understanding brought by "scripture" does not, furthermore, appear to be the sole possessor of this instrumental value. Contrary to what Rambachan says, there often appear to be yogic "prerequisites" (*adhikāra*) as well, although Śaṅkara is not always consistent about these (see e.g., *Upadeśasāhasrī* 2.1.2, *Muṅḍakòpaniṣadbhāṣya* 3.1.1, 3.1.2, 3.2.4, *Kenôpaniṣadbhāṣya* 4.7, and *Taittirīyôpaniṣadbhāṣya* 3.1.1). Whatever be the precise list of *adhikāra*-s, understanding the words of the Upanishads is clearly held to be, though necessary, *not* sufficient. From Śaṅkara's *Muṅḍakôpaniṣadbhāṣya* 1.1.5: *vedaśabdena tu sarvatra śabdarāśir vivakṣitaḥ. śabdarāśyadhigame 'pi yatnântaram antareṅa gurvabhigamanâdilakṣaṅaṃ vairāgyaṃ ca na akṣarâdhigamaḥ*

sambhavati. But beyond this confusion of necessary and sufficient conditions, Rambachan's worst error is, I repeat, that he conflates the ideas of intellectual and existential understanding and fails to see that according to *śruti* as interpreted by Śaṅkara the liberating "knowledge" of Brahman is a "psychological event" (*anubhava*), not an "intellectual comprehension," (*śabdâdhigama*). See in particular *BSB* 1.1.2: *śrutyādayo 'nubhavâdayaś ca yathāsaṃbhavam iha pramāṅam, anubhavâvasānatvād bhūtavasluviṣayatvāc ca brahmajñānasya*. (The most significant use of '*anubhava*' here is not the first, on which Rambachan focuses, in pp. 35–36, but the second.) Rambachan says that experience is not a *pramāṅa* for knowing *brahman*. In the intellectualist sense of "knowing," he is right. All *pramāṅa* give intellectual knowledge, *pramā*, and there is, according to Śaṅkara, no intellectual knowledge in the liberating experience. There can be no report of the experience of *brahman* since the liberated person is lost to the world (or more properly, the world is lost to him). Thus not any "mystic report" but, as Rambachan partly sees, only self-authenticating *śruti* teaches the essential nature of the self and *mukti*. But it is an austere "self-experience" that is most highly valued, not *śruti*. Moreover, this "experience" is conceptualized in such a way that the world, including *śruti, has to be māyā*. (The inference is drawn according to the understanding of everyday illusion.) See the *BSB* citations in note 52 preceding, and Śaṅkara's *Bṛhadāraṅyakôpaniṣadbhāṣya* 2.1.20: *ekasmin brahmaṅi nirupādhike na upadeśo na upadeṣṭā na ca upadeśagrahaṅaphalam. tasmād upaniṣadāṃ ca anarthakyam iti etad upagatam eva*. The official epistemology is surely anti-empiricist, even anti-mystic-empiricist, but not only does Śaṅkara believe that a living *mukti* is a real possibility for a person and from that perspective "virtual evidence"; the *logic of his metaphysics* is governed by a complex analogy to everyday experience, veridical and illusory. See the *BSB* citation in the following note (note 64) as another expression of this governing analogy.

64. Brahman thus includes both intrinsic self-awareness and all reality—in that it is that which underlies all worldly things. This is an extremely important point. The reason that there can be salvific Brahman-experience is that Brahman is real, the Advaitins hold, just as the knowledge mediated by the senses is dependent on real things. Śaṅkara says this explicitly at *Brahmasūtrabhāṣya* 1.1.4: *brahmavidyā ... pratyakṣâdipramāṅaviṣayavastujñānavad vastutantrā*, "Knowledge (*vidyā*) of *brahman* is dependent on a real thing, like the knowledge of the real things that are the objects of such means of knowledge as sense experience."

65. *Ppk* 111–113.

66. This appears to be the same type of phenomenon as that brought out by the "duck-rabbit" pattern popularized by Wittgenstein, in *Philosophical Investigations* (New York: Macmillan, 1953), p. 194.

67. Robert Nozick, *Anarchy, State, and Utopia* (New York: Basic Books, 1974), p. 42.

68. Cf. Paul Hacker, "Die Idee der Person im Denken von Vedānta-Philosophen," in *Kleine Schriften* (Wiesbaden: F. Steiner, 1978), pp. 280–281.

69. The idea is that we can be aware of ourselves directly, without mentally reflecting on the fact of our existence; the self is "irreflexively self-illuminating." Compare M. Merleau-Ponty's understanding of the Cartesian "*cogito*" in *Phenomenology of Perception*, trans. Colin Smith (London: Routledge & Keagan Paul: 1962), pp. 369 if. Paul Hacker illumines the Vedāntic idea in numerous articles; see for example "Śaṅkara der Yogin und Śaṅkara der Advaitin" and "Śaṅkara's Conception of Man," republished in his *Kleine Schriften*. Cf. Aurobindo's notion "knowledge by identity," in *The Life Divine*, pp. 524–552, and my book, *Aurobindo's Philosophy*, pp. 103, 117, and 124.

70. The failure is particularly evident in the obscurity of the notion of "*jīvanmukti*" "liberation while alive." Cf. Potter's discussion of the notion, in *Encyclopedia of Indian Philosophies*, vol. 3, pp. 34–35: "The *jīvanmukti* state seems paradoxical" (p. 34). Indeed, it is, if "living" is taken to involve conscious and willful activity and not just a comatose state.

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DREAMS AND REALITY: THE ŚAṄKARITE CRITIQUE OF VIJÑĀNAVĀDA

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In this essay, I concentrate on two significant passages in Śaṅkara's *Brahmasūtrabhāṣya:* (1) a few sentences from the introductory passage, and (2) his critique of Vijñānavāda. While I will not directly examine the classical Advaitic doctrine that Brahman alone is 'real', I hope to show that Śaṅkara adopts a sophisticated position on the nature of the ordinary world extrinsic to the subject of consciousness. This can be seen from a study of his analysis of the claim that dreams prompt suspicion about the nature of the world or, at any rate, the veridicality of our cognitive contact with it. The resultant position, which I characterize as 'nonrealism' regarding the world, is that while such a world must be accepted for the purpose of conventional knowledge, since it alone adequately explains the nature of our experience, there is nothing in our experience, and the reasoning based on it, that will enable us to say that the world which is experienced is the sole and determinate reality. Obviously, if there is no philosophical foundation to the idea that this world is the sole and determinate reality, there is at least a prima facie case for considering the soteriological possibility of Brahman-reality against which this world can be set as indeterminate in some significant way. I shall not pursue this soteriological claim because (a) much of the sustained argument for the plausibility of the indeterminacy of the world was done by Śaṅkara's successors, and (b) because I think that the soteriological argument is unpersuasive unless one is committed to some acceptance of Brahman (or indeed a Deity). I argue here that in his rejection of the Buddhist use of dreams and in his qualified acceptance of dreams himself, Śaṅkara provided us with sufficient material for an interesting reconstruction of the Advaitic philosophical position. The

aim of this essay is to use the material on the critique of Vijñānavāda to provide a Śaṅkarite reconstruction of the role of dreams in our understanding of the external world; I will not attempt to make this an exegesis of Śaṅkara. The interest lies, I think, in the way in which arguments rooted in a tradition can be developed with regard to contemporary themes in philosophy. I must emphasize at this stage itself that the Advaitic view which I present here is substantially at odds with the spirit of the subschool exemplified by Padmapāda and Sureśvara, which, on the basis of the philosophical positions I give here, may more properly be understood as being idealistic. My Advaitin is a reconstructed Śaṅkarite who owes a fair amount to the subschool represented by Vācaspati, and to the subtle skepticism of Śrī HarṢa.

This essay is broadly in three parts. In the first, I give an account of the way in which I view the *pramāṇa* theory, and I provide a few comments on my use of the idea of transcendental argument in the technical Kantian sense and on the use of basic terms. In the extended second part, I first reconstruct an Advaitic understanding of the conditions required for ordinary experience (or continuous cognition), and then examine the actual Buddhist position regarding dreams together with Śaṅkara's attack on it. In the final part, I speculate on a way in which the Advaitic acceptance of the role of dreams could be reconciled with the rejection of the Buddhist use in such a manner as to provide a rationale for the ultimate soteriological idea of the reality of Brahman.

I

1. The Pramāṇa Theory: A System of Validation. We must now set the scene for the Indian metaphysical project. The structure of the subject-object relationship is formed by the *pramāṇa* theory. The *pramāṇas* are the *means* of knowledge, and provide knowledge through such modes as perception, inference, and testimony. The objects of knowledge are called 'knowables' (*prameya*) and constitute the order extrinsic to congition. Finally, the cognitive act in which an object is grasped according to the authoritative means of knowledge is an episode of knowledge (*pramā*). It can be used to refer to both the true judgment that issues and the subject's entertainment of it, as a consequence of the proper use of the *pramāṇas*. The *pramā* may

thus be called a knowledge episode.[1] The importance of the *pramāṇas* lies, however, not just in the cataloging of the modes of gaining knowledge—perception, inference, testimony, and the like—but in the metaphysically vital double nature they possess. To gain knowledge is to use the *pramāṇas* properly; but usage is proper precisely due to the *pramāṇas* being the authoritative source of knowledge of the objects of knowledge (*prameyas*). If the cognition of a condition is veracious, the reason that the subject *gives* for holding that cognition as veracious will have to be just the legitimate reason the subject in fact *has*, that entitles the subject to so hold the claim, and which renders it true. Using the scalpel *properly* just is getting the *right* incision. In the *Citsukhī*,[2] it is claimed that when veracious awareness arises (*utpatti*), the totality of causal factors that generate knowledge will be the factors the subject appeals to in claiming knowledge. The Indian skeptic Jayarāśi[3] agrees that certain conditions determine whether a cognitive act is a knowledge episode. It must (I.11):

(i) be produced by faultless causal factors,[4] and

(ii) be free of contradiction.[5],[6]

He also accepts the further Nyāya definition[7] that

(iii) there must be activity (*pravṛtti*) that is efficient (*sāmarthyam*) in the attainment of a cognitive result (*phalam*).

Making use of Gilbert Harman's terms,[8] Matilal dubs this the 'cause/because' nature of the *pramāṇas*. It must be emphasized that this cause/ because formulation is not an attempt to combine Alvin Goldman's theory of knowledge[9] with Harman's theory of inference.[10] Briefly, Goldman's theory is that a judgment is true and delivers knowledge only if it was the object of the judgment which *caused* the cognition upon which the judgment is based. Harman's theory states that a judgment functions as a proper knowledge claim only if the subject can provide, through inference of the causal chain involved, the *justification* for that claim. The cause/because theory, however, should be seen as an attempt by the Indian philosophers to extract a metaphysical relationship between knower and known. The concept of the *pramāṇas* in this context should not be seen as a theory of inference, but as a transcendental argument about the condition required for knowledge (for a judgment to be true). It is not so much an explanation of how I can come to know as laying down what must be the case when I do.

In view of this understanding of the nature of the relationship between knower and known, we may say that the *pramāṇas* become the crux of two interdependent issues: the consistency of justificatory procedures ('because') and the metaphysical requirement ('cause') for the validity (*pramātva*) of such justification.

The relationship between the subject's incidence of knowledge (*pramā*) and its object (*prameya*) is therefore structured by the *pramāṇas*. That is to say, the Indian metaphysical project was conceived as an examination of how the *pramāṇas* literally held together the subject-object relation evidently presented in experience. An examination of what epistemic activity resulted from and in experience was an examination of the justification that was used for knowledge claims in that activity; and if the justification was to be held as successfully made, then that success would prove that knowledge 'worked', that indeed we had access to the objects of our epistemic activity. The idea is that any state of affairs can be established in knowledge only by the grasp of the instruments which render cognition of that state of affairs valid. The attainment of truth cannot be imagined to be anything other than a grasp of the justification conditions for the judgment, for what justifies that judgment is its being the case that the state of affairs is just as the judgment takes it to be. The *pramāṇa* theorists concluded, therefore, that if those conditions were known, that is, if the *pramāṇas* were established as delivering certainty (*nirnaya*), then the truth of the matter could be taken as established. The obvious objection is that one could conceive of coherent justification that would not deliver 'truth'. But that is to misunderstand the notion of the *pramāṇas*. According to the theorists, it is not enough merely to give reasons for holding a judgment in order for it to be true. The force of the point about justification and validity is this: suppose we stipulate that a given judgment be taken as true. Then, speaking from the point of view of epistemic access, if that judgment is entertained and the subject is taken as having knowledge, what else can the subject do to substantiate that claim but catalog the procedure by which such grasp was gained? From that it does not follow that giving justification is all of what knowledge consists in. But it can be said that knowledge consists in possessing a grasp of that set of factors which constitute the elements of the causal chain from object to cognition. That is why the *pramāṇas* are not only justification procedures but also those methods which match the causal chain with the justificatory ones, so as to validate

knowledge claims. The idea is that one cannot simply give a justification and leave it at that; that justification has to be the one that traces the path of contact between judgment and state of affairs but in reverse. We have, then, the Validation Thesis of the *pramāṇas* (Vp):

(Vp) The establishment of the instrumentality of the *pramāṇas* is possible in virtue of the authoritative source of the *pramāṇas*; therefore, the establishment of the instruments of knowledge establishes, for the users of these instruments, the cause of knowledge.

The Advaitic project is then taken to be as follows: it is an exploration of the subject-object relationship in the sense that it seeks (a) a conception of an order, extrinsic to the cognitive faculty, which is required for there to be an epistemic life of systematic knowledge claims, and (b) to determine the extent to which that conception can be established as explaining the metaphysical relationship between the cognitive order and the order of objects cognized. We have discussed the *pramāṇa* theory and settled on a fairly austere interpretation of what, minimally, it is taken to do: it lays down the condition that, through the various instruments of cognition like perception, inference, and testimony, there is a procedure for validating the knowledge claims that can be logically consequent upon a cognitive episode. This procedure consists in determining the existence or nonexistence of a justificatory chain from cognition to its object (or alleged object). The arrangement of the elements of the justificatory chain does not deviate from the arrangement of the elements of the causal chain that exists between cognition and the relevant object in the case of a correct cognition; it is merely claimed to exist when in fact there is no such causal chain (or no such object) in the case of an erroneous cognition. As such, the *pramāṇas* regulate the epistemic life of experience; their systematic nature is held to be, minimally, coexistent and contiguous with the systematic arrangement of the experienced order. The metaphysical issue, then, is what would be the appropriate construal of this coexistence.

2. Transcendental Arguments. One noticeable feature of the present essay will be its characterization of certain Indian arguments as 'transcendental' ones. A transcendental argument, since the time of Kant, has been taken as one which attempts to show that the world must be a certain way if the

experience of it is to be what in fact it is. To quote Kant on the connection such a proof attempts to make between the nature of experience and the nature of the experienced world:

> [I]n transcendental knowledge … our guide is the possibility of experience…. The proof proceeds by showing that experience itself, and therefore the object of experience, would be impossible without a connection….[11]

Conventionally, a transcendental argument is supposed to show, a priori, what must be the case for experience to possess the features it does. If that can be accomplished, the doubt whether experience is indeed of the ostensibly experienced world is refuted. The argument is therefore held to rely on demonstrating that certain things must be necessarily the case for there to be experience. Given the requirements of a priority and necessity, it does not seem obvious that the concept of transcendental arguments can be transposed to the Indian scene, due to the absence there of the notion of either of these requirements in a way easily recognizable to philosophers of the post-Kantian tradition.

But the situation is not so straightforward. There are considerable problems in assuming that successful transcendental arguments ought to be built on these requirements. Before actually going on to talk about that, let us examine a related idea: that of 'descriptive metaphysics'. This is basically the project of exploring the various connections between the features of experience such that an account of the world emerges which may be held to be coherently related to these features. This is a looser formulation of the metaphysical program than the initial version of the transcendental requirement. Obviously, both this sort of metaphysics and transcendental arguments work on the basis of the claim that we can form no coherent or intelligible conception of a type of experience which does not exhibit the features that actual experience does.[12] It seems clear enough that the Indian philosophers were indeed descriptive metaphysicians. They strove to explain the nature of cognition and knowledge on the basis of the objects of cognition and knowledge. By having a theory about the system of validation, they attempted to give an account of how the cognitive life (meaning experience, awareness, knowledge, and error) coheres with one or another view of the nature of the world. It seems only fair to take it for

granted that Indian metaphysics can, among other things, be called descriptive metaphysics.

Now, it might be thought that transcendental arguments are not the same as, or even part of, descriptive metaphysics. It may be reasoned that the two do not perform the same task. On the one hand, transcendental arguments could be required to prove that there cannot but be a world independent of our grasp of it but of which we have experience. On the other hand, descriptive metaphysics seems to be content with the task of showing that, depending on the nature of experience, the world's being a certain way would best explain that nature. Such a descriptive project does not seem to move from an awareness that experience possesses the features it does to the claim that those features are possessed only because what is taken as experienced actually is *as* it is experienced. If the latter has to be proved for a metaphysical project to be successful, descriptive metaphysics fails the task. Further, there is no conclusive proof that experience does not *actually* rest upon conditions of which we have no conception; consequently, the world may not be how it seems to be experienced.[13] There are, therefore, two claims involved in the contention that the sort of descriptive metaphysics described above is inadequate. For one thing, it would fail to show that there must be a world independent of the experience of it. For another, it would not disallow the possibility of a world which is not experienced but which yet determines the nature of our experience (as illusory).

This is by no means uncontroversial. There is also a further point to be made. It could well be the case that it is misguided to ask for a transcendental argument to prove that there cannot but be an independent world which is nonetheless experienced. If this requirement is rejected either for being logically impossible or for being an unargued premise, then a case could be made that the work of descriptive metaphysics is coeval with the development of transcendental arguments. Peter Strawson, the best-known contemporary proponent of transcendental arguments, and the coiner of the phrase 'descriptive metaphysics', has written that the metaphysical project of description, including as it does transcendental arguments, "remains valid even if our transcendental arguments are not strictly conclusive, i.e., do not successfully establish such tight and rigid connections as they promise."[14]

Now, there seems to be a *prima facie* case for not separating descriptive metaphysics from transcendental arguments. It may well be the case that if transcendental arguments *have* to deliver on their promise but fail to do so, and descriptive metaphysics does not acknowledge the legitimacy of that promise, then the two are different things. But initially, if both are involved in the attempt to explain why 'cognitive life' possesses the features it does, and it is only later shown that it is misguided to expect transcendental arguments to deliver on their so-called promise, it seems acceptable not to stipulate that there is a difference between the two. Therefore, I assume that when the Indian philosophers attempted to explain the components of cognitive life in terms of the cognized world, they were implicitly relying on transcendental arguments. The proviso is that transcendental arguments here are read as arguments attempting to show what account of the world would best explain the nature of that world, held as that world is to regulate the commonly admitted system of validation. They should not be construed as arguments attempting to show what are necessary conditions for there to be experience regulated by that system of validation. In saying this, I want to avoid the criticism that Stephan Körner makes of transcendental deductions of any particular categorical framework:[15] it is impossible to demonstrate the uniqueness of such a framework, but a transcendental argument will not establish metaphysical truths unless the universality and necessity of the framework it employs is demonstrated; and there are no good empirical or philosophical reasons for thinking that the unversality and necessity of any such framework has ever been demonstrated. My point here is that the descriptive approach I think most useful is one which is light on framework and rather heavier on empirical elements, and that, consequently, it makes a claim not about the necessity but merely about the plausibility of the account given.[16],[17]

3. Basic Distinctions. We now stipulate what could be termed the idealist-realist distinction. The *idealist* holds that the epistemic life is ensured only if causal and justificatory chains do not run between distinct orders but within a single one, such that epistemic activity can be directed at whatever occupies the content of cognition. As the causal chain is held to run from object to cognition and the justificatory chain from cognition to object, if the chains ran within the same order, the object of a cognition would not be distinct from the cognitive act which presents it. The 'co-occurrence' of

object and cognition is explained by the absence of any ontological distinction between them.

The *realist*, on the other hand, thinks that if epistemic activity is to be assured, the justificatory chain must agree with what is in fact the causal chain. But if there is to be such agreement, the components between which there is agreement must perforce exist. Such an agreement therefore requires the existence of an order of objects (for there to be a causal chain) and the existence of a cognitive order (for there to be a justificatory chain).

Into this situation comes the *nonrealist*. For this person, the essential distinction that the realist makes between the two orders is inescapable because that is given in the content of experience in a manner that cannot adequately be explained away, and epistemic activity is aimed at the ordering of the content of experience. On the other hand, however, he or she thinks that more must be said on how merely distinguishing between the two orders in this way constitutes proof of an ontological divide between them. The nonrealist notices that alleged proofs regarding the existence of a divide between the two orders seem to depend on the content of one order, namely, the cognitive one, and concludes from this that all that can be shown is that an account of experience requires a distinction to be made between the two orders. The nonrealist maintains, however, that if any proof is dependent on the content of the cognitive order alone, then such a proof will not establish, as the realist wants, the divide between the two orders via an argument that an independent extrinsic order is somehow necessary for experience. The proofs that are in evidence seem to depend on the content of the cognitive order, and therefore can only show that the features of that cognitive order can be explained by recourse to the notion of an extrinsic order alone. Nothing actually establishes the nature of the extrinsic order as distinct from, and totally independent of, the nature of the cognitive order.[18]

II

1. Conditions for the Occurrence of Experience. Śaṅkara starts by referring to the subject and objects that are distinct from one another. Thereafter the conditions required for experience (or 'empirical' experience as it is generally called in Vedantic terminology, to distinguish it from the putative

experience of an ultimate reality) are given: it is through a relation between cognitive subject and object that one has a conception of this, the natural experience of the world (*naisargiko 'yam lokavyava-hāraḥ*). The fundamental distinction required for cognitive activity (that is, which must be made if there is to be any account of cognitive activity) consists in this: a subjective order whose content is given by its being the recipient of an object's presentation (an 'objectee', it could be said) (*asmat-pratyaya gocare viṣayinī*); and an order of objects whose content forms the accusatives of presentation (*yuṣmad-pratyaya gocare viṣayaḥ*) (that is, consisting of nonsubjective elements). It is clear that it is appropriate to interpret 'yuṣmad' here not in the primary sense of 'you' but as 'other than the self', where 'asmat' stands for 'I' in the sense of the subject. Awareness is therefore structured by ascription of characteristics to cognized elements —including, fundamentally, that of being extrinsic to the subject. The extrinsic nature of objects is implied by the claim that the act of cognition and its accusative are as different "as light and darkness."[19] This last is important because Śaṅkara's claim is that there is no getting around the source of the notion of externality of objects (and in a generally non-Cartesian way, their being extrinsic to the cognitive faculty): it is derived from the content of experience itself. Then, indubitable awareness is partly constitutive of an order of awareness in which awareness is awareness of something (namely, objects are what the subject's experience is the experience of). It is because of this that there is an epistemic life. That is to say, there are claims to 'know' what it is that is presented in experience. It is with this claim with that he begins the introduction to the *Brahmasūtrabhāṣya*.[20] Literally, the arrangement and nature of these objects are a superimposition (*adhyāsa*) on cognition.

The general Advaitic point is that superimposition is the process by which there is ascription of an attribute or quality (*dharmāḥ*) of the accusatives of cognition to the content of cognition. As a result, there is an interaction between the subjective state of awareness, and the entities, extrinsic to that awareness, which form its objects. That interaction leads to such typical experiential states as taking that "I am this" (*ahaṃ idaṃ*) and "This is mine" (*mamedaṃ*), and so on. So primarily, the Advaitin thinks that there is a curious situation wherein though the intrinsic state of awareness is fundamentally different from entities extrinsic to it, experience is itself constituted by a relation between the intrinsic and the extrinsic,

whereby the intrinsic state of awareness is qualified by the extrinsic state. Given the related Advaitic theory of a unified self, I shall generalize from the single subjective state, and talk of the subjective or cognitive order; and given the commonsense empiricism that there are objects of awareness, I shall generalize from the single object of cognition and talk of the order of objects or the extrinsic order.[21],[22]

Experience results in claims to know of objects, and that implies a notion of what it is to have knowledge (?*vidyā*) and what it is to lack knowledge (?*avidyā*). That notion is in turn possible because of a conception of what it is to distinguish between claims where there are such objects as are presented in cognition and claims where there are no such objects. But the requirement for such a system of validation and invalidation is itself derived from what experience presents to the subject: an order of objects whose arrangement the cognitive order must correctly reflect, by explicating a justificatory procedure which does not deviate from the causal chain that must exist between the object and the cognition of it. In short, the *pramāṇas* are experientially based.

The systematicity of cognitive life itself provides a conception of the *pramāṇas*, but it is by the use of the *pramāṇas* that the existence of those conditions which constitute the systematicity of experience (that is, the existence of valid epistemic activity) can be postulated. That is the significance of the *pramāṇas*: if their instrumentality is implied in epistemic activity, that is, if they are used for justificatory procedures, then so, too, is their causal role implied, which is to say that the source of their validation (the order of objects) just is the locus on which epistemic activity functions. As noted in section I, this form of empiricism, that is, a thesis that the system of validation available to us is one whose provenance is experience, was consensually favored by *pramāṇa* theorists, Naiyāyikas, Mīmāmsakas, Vedāntins, and Vijñānavādins alike; those like Nāgārjuna and Jayarāsi who did not accept the *pramāṇa* theory were altogether skeptical of the possibility of knowledge and the giving of a theory of reality. This fact must be kept in mind, because it is the consensus on the experiential origin of the system of validation which impels the discussion in the direction it actually takes. Śaṅkara is able to emphasize the relation between the available system of validation and the ineliminable feature of experience in the way he does because his opponents do not themselves challenge the experiential derivation of the system of validation.

2. The Dual Aspect: Śaṅkara and Strawson's Kant. Śaṅkara says that the ineliminable feature of the constitution of experience is in the form of a 'dual-aspect':

> It is constitutive of the nature of things that there is a fundamental distinction between the subject of experience and what is experienced, the subject of experience being the conscious embodied person, while the experienced consists of objects such as sounds etc.[23]

—he has an opponent say, before agreeing with him. So, there is a subjective order of awareness, intrinsic to a particular person, of an order of entities of which there is awareness. I take the liberty of calling that which Śaṅkara calls 'objects', in the plural, 'the order of objects', and the sequence of cognitions of a conscious unitary individual 'the cognitive order'. It is from this experiential situation that the systematic nature of the *pramāṇas* is derived, which in turn implies the systematic arrangement of the order of objects. Objects have to be that way, or else experience would not be understood the way it is. It is from experience that we get an idea of how the world must be for experience to possess the nature it does. If one can hazard a slogan, Śaṅkara relies on empirical material for a transcendental argument.

It is with some trepidation that one brings up the similarity between such an idea of the dual aspect of experience and the one Strawson derives[24] from his reading of Kant. There Strawson says that experience must be conceived as the passage of a subject through an objective world; this objectivity consists of an order and arrangement which can yield the formation of order and arrangement in the epistemic grasp of different subjects, and which is independent of any particular subjective grasp of it. There is no denying that Śaṅkara sees some such distinction between an order of awareness and an order of objects as a requisite for the explanation of the conditions under which cognition occurs. He gives, too, as we shall see, some idea of what he thinks this grasp of objects should consist in and what that implies about the nature of these objects in a broadly 'empirical realist' way.

There are, however, significant differences. For Kant, an 'object' implies 'objectivity', which is a weightier notion than that of entities extrinsic to

cognition, and one which includes the concept of a general independence of entities from the cognition of them and their intersubjective (hence 'other minds'-involving) stability. He attempts to achieve this transition through the argument for the necessary unity of consciousness, namely, the thesis that experience of a unified objective order requires a unified consciousness. Strawson interprets this as requiring a self-ascriptive, or reflective, capacity for the awareness that that unified subject possesses.

In Śaṅkara, as in other Advaitins, there is an interesting thesis of 'self-illumination' (*svaprakāś;a*) held to be possessed by a unified self or witnessing awareness (*sākśi-caitanya*). But it is not entirely clear that the sort of relationship found in the Kantian picture is available. Here, it is related to the controversy of what it is to know that one knows, and about a nonregressive use of the *pramāṇas*. Primarily, it has a soteriological function, besides which there are also notions of immateriality and personhood. As such, I shall not be examining it.[25] Instead, what we have here is a less weighty notion of objects: it does not include the a priori concept of objectivity, but just deals with a conception of entities as distinct from the cognition of them and which possess a complex of properties accessible through the complex of cognitive instruments possessed by the subject. For the purpose of distinguishing this more austere interpretation of objects than the Kantian one, I shall talk of an 'order of objects' or an 'extrinsic order' rather than an 'objective order'. It will also emerge that Śaṅkara's construal of the dual aspect is one in keeping with the nonrealism of Advaita.

3. Śaṅkara: General Conditions for a Systematic Cognitive Order. Before we examine the way the dream analogy is used by Advaita, we must first establish the nature of the 'empirically realist' nature of the cognition-object relationship which the Advaitin is willing to countenance. It is the characterization of this nature that establishes the fundamentals of the Advaitic view of experience. Śaṅkara lists, in the course of his critique of Buddhist idealism, the general conditions of the cognition-object correlation. He evidently takes the existence of this range of correlative types to be indicative of the explanation of the complex character of experience. First, I present the terms of my interpretation.

A cognition has content by representing an object, and it is by virtue of this representation that the cognition is characterized as the cognition of that

particular object (and no other). The cognition is what it is because of the object qualifying it. Therefore the object is the qualificative of cognition, and the cognition is the qualificand. The object gives content to the cognition through the cognition being a representation of that object.[26] For there to be a cognitive order which constitutes a grasp of an extrinsic order, these general conditions must hold. I give here a substantially interpretative rendering of a passage in which Śaṅkara states the conditions in terms of actual examples.[27] What follows is a reformulation of this passage:

> [And again,] in 'cognition of a pot' or 'cognition of a cloth', the qualificative distinctions occur with regard to pot and cloth, but not with the substantive qualificand cognitions, as, for example, in the instances of a 'white cow' and 'a black cow'; whiteness and blackness are different qualities but not [the principle of] 'cowhood'. And the difference of the one [the principle] from the other two [whiteness and blackness] is obvious, as is the difference between the latter two and the former; similarly, there is a distinction between [cognized] object and cognition. So, too, should be our understanding of the perception of a pot and a memory of it, where the substantive qualificands, perception and memory, are distinguished, but the qualifying [or qualificative] pot is [a] common [factor]. Thus, too, there are instances of the cognitive states of smelling the milk and tasting the milk, where the substantive qualificands 'smell' and 'taste' differ but not so the qualificative milk.[28]

   (1) For objects *a, b, c,…* and for cognition *C*, it must be the case that there is *C(a), C(b), C(c),…*; and there should be individuation in cognition where there are different qualificatives (*viśeṣana*) of cognition, *a, b, c,…*, and a common substantive qualificand (*viśeṣya*), cognition (*jñāna*).
   (2) For any object a cognized at time t_1 in the form of perception *P*, and at time t_2 in the form of an episode of remembrance, that is, an act of memory *M*, there should be individuation by cognition of the difference between $CPt_1,(a)$ and $CMt_2(a)$, where t_1 is the time of the presentation of the object, requiring the presence (*bhāva*) of that object located as represented, and t_2 the time of the episode of remembering the object, independent of the presence (though Śaṅkara puts it as actually requiring the absence, *abhāva*) of the object, and the qualificative a of cognition is

common, though there are different substantive qualificands, cognition through perception and cognition through memory.

(3) For any object *a*, for any two or more modes of cognition, as in the perceptual types smell (S) and taste (T), there must be individuation through such cognition as $C_T(a)$ and $C_S\{a\}$, where again the qualificative a of cognition is common and there is difference between the qualificands, cognition through the perception of taste and cognition through the perception of smell.

The importance of these conditions is clear enough. Condition (1) refers to the capacity of the cognitive faculty to instantiate, over a variety of particular instances of cognition, subjective states of apprehension whose content is determined by the characteristic nature (*svabhāva*) of whichever object is represented (keeping in mind the episodic nature of cognition, *jñāna*, as a particular state of representation of an object). It is therefore the most general condition required to characterize a legitimate cognitive order of awareness. Condition (2) talks of the continuity of that order by way of the relationship between the episode of cognition through presentation, and the episode of remembrance, which confers dispositionality to the cognitive faculty.[29] It therefore gives the condition under which cognitive elements are arranged as members of the cognitive order.[30] Condition (3) adverts to the interconnectedness of the instruments of the cognitive faculty, and points to the complex matrix of presentation and apprehension within which the relationship between the two orders functions.

More detailed and perhaps more careful formulations may be given to substantiate the account of what the conditions are for the cognition-object relationship, but we have here a basic account of these conditions, simple as they may seem more than a millennium later.

To sum up: for there to be experience, there must be a distinction between cognition and its object. We must assume that cognitive life is a primitive fact because subjects are logically obliged to affirm it. But the content of cognition is constituted by the representation of objects. Such content itself represents objects as external. The representation of objects leads up to the issue of whether objects of cognition are correctly or incorrectly represented; and this issue is addressed through the requirement that conditions (1), (2), and (3) hold in the case of correct cognition, or fail to hold in the case of the purported object not being correctly represented. It is the nature of cognitive life—experience—that there is systematic

representation of extrinsic objects. To account for this nature, we need an explanation for systematic representation. This explanation is given by there being an order of extrinsic objects distinct from cognition, whose characteristics are represented by cognition in a systematic way (that is, allowing for discrimination between correct and incorrect cognitions, and for appropriate representation) by virtue of being regulated by the *pramāṇa* system.

4. Buddhist Idealism and the Dual Aspect. The Advaitic picture, therefore, has the *pramāṇas* working within the framework of the dual-aspect thesis. In the *Bhāṣya*, we find Śaṅkara proceeding on the basis of the contention that the epistemological deliverances of the *pramāṇa* system are assured if there is a distinction such as the one he postulates. His opponent here is the Vijñānavādin Buddhist, who is an idealist in that he does not wish to accept the extrinsic nature of objects.[31]

A philosopher may think it misguided to take the distinction between the two orders as a primitive feature of the cognitive life and, indeed, constitutive of that life, regardless of whether that distinction is held to be either ontologically established or transcendentally required to explain *pramāṇa*-bound epistemic activity. Such a philosopher would hold that there is no need to include the assumption of such a distinction in an account of the conditions required for the cognitive life, let alone some 'transcendent' proof (in the Kantian sense of depending on material not accounted for from cognitive grasp) that there is such a dual order. Such a position would involve the attempt to do away with the distinction, having in its place reference purely to the structure of the subjective order. This indeed is the view of the Vijñānavādin Buddhist. At the very outset, one philosophical point must be made. Buddhist idealists like Vasubandhu adopted the position that no order extrinsic to the cognitive exists. Sometime after Vasubandhu, Diṅnāga stated his own thesis that every cognition had its own dual aspect: an object aspect (*arthābhāsa*) and a cognizing aspect (*svābhāsa*). This was still an idealistic rendering, for all it said was that the description of a cognition must itself consist of the object that the subject understood herself to perceive and the subject's state of having that perception. Post-Diṅnāga writers called the objectivai aspect of cognition the object form (*arthākāra*), which was one of the elements constituting cognition. This interpretation of cognition, therefore, put

forward the idea that since the form of the object was intrinsic to a cognition, description of that object form exhausted the description of what was the object of cognition. "[I]nstead of saying with the old Yogācārins [that is, the Vijñānavādins] that the external objects do not exist, for nothing but consciousness exists, one can now say … [that] references to external objects are dispensable."[32] This is perhaps a more sophisticated way of arriving at the idealist conclusion. It does seem, however, as if the interpretation that we could give of the general critique of Vijñānavāda found in Śaṅkara can actually encompass both positions. The Vijñānavādin that Śaṅkara has in mind looks very much like Vasubandhu, or, at least, the arguments Śaṅkara has the Vijñānavādin give are the same as Vasubandhu's. For this heuristic reason, and without any particular historical justification, we will consider Vasubandhu's own words in tandem with Śaṅkara's. In the *Trisvabhāvanirdeśa*, Vasubandhu rejects the distinction between the two orders:

> What is the conception of that which is nonexistent? [The answer is] 'mind' [mental projection] / For by it, the nonexistents are imagined; and inasmuch as the mind imagines objects, they do not exist at all.[33]

> What is it that is presented in cognition? The nonexistent which is projected [or imagined]. How is that presented in cognition? In the form of a twofold appearance [of the apprehender and the apprehended] / What is it in cognition that does not exist? That by which the twofold appearance is affected.[34]

This position is defended in the Viṃśatikā section of his *Vijñaptimatrātasiddhi*. Here he argues that there is reason to reject the existence of the extrinsic order as independent of subjective construction (*vikalpa*), which rejection is the central tenet of idealism. However, his rejection is tied to an atomistic conception of such an extrinsic order, on which I shall briefly comment later.

5. Vasubandhu, Descartes, and Dreams. The way in which the argument from the dream analogy is used is interesting in its resemblance to and difference from the way in which Descartes used it. It is important to make the comparison because the dream analogy has a certain resonance in

Western philosophy, and the difference in usage has to be pointed out. We will, therefore, briefly deal with the rich and controversial Cartesian case in order to note the points of resemblance and those of contrast.

In the First Meditation, Descartes notes that he is often astonished to find that he had not actually been sitting in front of the fire but had merely dreamt that he had, and says, "my astonishment is so great that it is almost capable of persuading me that I now dream."[35] This is not to say that he thinks he cannot know that he is not dreaming, though much discussion has proceeded as though he did. But the importance of dreaming is that the senses can be deceived; a set of external objects is presented to the subject, but there is no such set as the 'experience' in the dream has it. This is the initial lesson to be learned from erroneous judgments, and that is what Descartes does. In the Third Meditation, however, the *malin génie* hypothesis is put forward. An evil demon may be consistently deceiving me into thinking I have experience of the world, so that cognitive life does not in any way match the way the world is. It has sometimes been argued that there is nothing new that the evil demon hypothesis adds to the dream scenario; it is all a question of lack of veridical contact with the world.[36] It seems, however, as if that can be argued only if the dream scenario is strengthened in a certain way: it must become the hypothesis that I may always be dreaming, in the sense of not being in cognitive contact with the world by being in a permanent dream state. That, however, hardly sounds like a dream. On the other hand, there may be something fundamentally different between dreaming and being deceived by the demon, where an instance of the former only points to the impossibility of ruling out the latter. It has been argued that dreaming itself can make sense only in the context of being awake. There must in general be veridical experience for there to be error;[37] there must be real coins for there to be counterfeits.[38] It might be legitimate to assume, within Descartes' realist theory, that it is right to correlate the presentation of external objects in the waking state with veridical contact, and the absence of such presentation in dreams with error. As we shall see, this is not acceptable to the idealist in any case, and in fact precisely the idea he would seek to displace eventually. But in any case, it will not do to make such an assumption. Descartes does not seek to put forward the skeptical scenario per se in the dream analogy, but the possibility of being in error about the objects of cognition. It is a further step from the admission of this possibility to the hypothesis that a subject

can be in error about the whole cognized order of objects. In this context, the reasoning that waking is required for there to be dreaming is not useful; it may even be circular. That is to say, to point out the essential *relational dissimilarity* between dreams and the waking state will be beside the point. It was indeed something that was clearly recognized by Descartes. The question for him really was what guaranteed this dissimilarity; that is, what guaranteed a veridical contact with external objects such that the difference between dreams and the waking state could be made out?

So the real issue here is not about the falsity of dreams (defined in terms of failure to be in contact with the external order) vis-à-vis the waking state, for that just opens up the problem of contact with an external order in general. As Ralph Walker says, "[w]hat is at issue is whether all my sense-based beliefs about the world, and indeed all my other beliefs as well, may not actually be false, because produced in me by a powerful and malevolent deceiver."[39]

The Cartesian argument starts with the acknowledged case of dreaming. While dreaming, one does not know that there is no such world as is apparently spatiotemporally presented. Dreams show that there can be cognitive instances where there is no such world as there seems to be. Since no one particular cognition can by itself show that it is itself not erroneous, no particular belief can be guaranteed to be true. An evil demon could well control all of one's cognitions and create a situation analogous to dreaming, with one having no grasp of the external world, and a consequent erroneous cognition and false beliefs. From the experience of dreaming comes the idea that there can be instances of cognition without objects, where the subject is unaware that there are no such objects as presented. In that case, consequent beliefs are held to be false. If the evil demon were at work, then all beliefs would be false.

The question that arises immediately is what could render those beliefs *false*? Only within a realist view is it possible to assume that there should be beliefs about an external world even though those beliefs could be false. This is the central assumption that Descartes makes. His view is that there is a world which is independent of all subjective constraints and that knowledge is possible only when there is (veridical) grasp of that world. Only if there is an independent and knowledge-giving external world can a failure to grasp that world exactly render beliefs false. From within the terms of his argument, nothing Descartes says actually justifies the belief

that there is an independent and external world which alone ensures the veridicality of cognition. Yet that assumption is crucial because the Cartesian inquiry delivers the skeptical conclusion only against the background of the thought that there is an external world which regulates cognition and consequently allows knowledge of it. To put it briefly, it is because Descartes starts with a realist assumption that he arrives at the skeptical conclusion.

It was the absence of any immediate guarantee that there can be any distinction between a cognitive life (as in a dream) where there is representation of an external world which is not there and a cognitive life where there is representation of an external world which is there that led Descartes to the conclusion that there had to be proof that there is such an external world. This world is one which can determine all cognition as false if cognition is not of it. So it must be proved that the world in cognition is that independent world. That proof for Descartes, of course, was that there is a God who could not be a deceiver, but we are not concerned here with that.

6. The Interpretation of the Dream Case in Vasubandhu's Text. With Vasubandhu, the argument proceeds in the opposite direction. It would not be proper to say that Vasubandhu advances a skeptical hypothesis, that is, a hypothesis about the breakdown in the regularity of epistemic activity, unless one were ready to assume a realist position about the requirements for epistemic activity. Vasubandhu uses the dream analogy, and indeed the hypothesis of systematic nonextrinsic cognitive life, for the purpose of securing an idealist epistemology. His argument is found in the *Vijñaptimatratāsiddhi* (Treatise on the State of Cognitive Construction).

Vasubandhu, too, sees that the experience of dreaming raises a doubt about the external world. But his approach to the issue is different from Descartes'. While dreaming, one has systematic experience (which is what leads the subject to believe that she is awake). Dreams show that no particular cognitive instance can guarantee that there is an external object as is represented in experience. There can therefore be experience without external objects as represented, without the subject being aware that there are no such external objects. If a particular instance of cognition lacks the guarantee that there is an external object, any other cognitive instances would be similarly infected. If any cognition at all lacks the guarantee, no

cognition possesses it. If so, all cognitions lack that guarantee. Vasubandhu concludes that it is perfectly possible for cognition to occur without external objects and without an awareness that there are no external objects.

It does not follow from the representation of external objects in general that there are such external objects in general. Dreams demonstrate the dispensability of external objects. There can be cognition without objects, and there is no need to correlate external objects with veridical contact.

But Vasubandhu does not stop there. He wishes to explain systematic cognition, and therefore the possibility of knowledge. According to him, the appeal of dreams lies in the fact that dreaming experience is systematic and apparently about external objects. So he takes into account the fact that experience is systematic and that it is constituted by the representation of objects. What dreams show is that both these feature of experience— systematicity and the representation of objects— can be present even when there are no external objects. From that he concludes that cognition requires no external objects. But since objects are undoubtedly represented in cognition and since a knowledge of them is to be secured, he concludes that systematic experience and the representation of objects can occur as they do only if objects are not external to cognition at all, but intrinsic to it.

To recap, for Descartes, if the content of cognition is not representative of an independent order, then there is a serious threat to epistemic activity. For Vasubandhu, unless the content of cognition is representative of a dependent and constructed order, the account of how veridical cognitions— and epistemic activity—occur is incoherent. One may put the contrast thus: the Cartesian concern is with how systematic perception of the independent world is achieved; the Vijñānavādin's concern is with the very coherence of the idea that perception is systematically of an independent world.

It is possible for Vasubandhu to conclude as he does because of two moves at the heart of his argument. One is the rejection of the idea that there has to be an external and independent world which alone can guarantee systematic cognition. In the *Vimśatika* (verses 11–15), Vasubandhu takes it that if there is any conception of an external world, it must be an atomistic one, under which each substance and each quality is constituted by its own inherent atoms. Cognition for the atomist is supposed to be accounted for by the causal power of these constitutive atoms acting on the cognizing subject/cognitive order, such that each cognition is caused by the relevant atoms. Vasubandhu says that if the extrinsic order is what is

experienced or cognized and such an order is atomistically constituted, then the very idea of systematic cognition becomes incoherent. He argues that if the cognized order is taken to be an atomistic extrinsic one, then cognition must be either (1) of single wholes for each substance/quality represented, or (2) of the totality of individual constitutive atoms of the represented object of cognition. (1) It is not the former because, even though, for example, the demonstrative cognition 'this is white' ought to occur (on the atomist's account) as a result of being caused strictly and solely by the whiteness atoms (quality atoms), the cognition in fact does not represent just the whiteness distinct from the substantial parts but an entire object which has, among other qualities, that of whiteness. Thus, even though the atomist analyzes the cognition as having been caused strictly by the 'whiteness atoms', leaving no explanatory space for the causal role of other atoms, like those which are supposed to constitute other qualities and substances, the cognition of whiteness is always accompanied by a representation of other features of the object—features, that is, which must be accounted for but cannot be on the atomist's causal account. (2) It is not the latter because, as a matter of fact, cognition does not represent a swarm of discrete atoms but complexly conceived objects. To sum up, if the world is an extrinsic and independent one, conceived atomistically, then the features of cognition are not accounted for. The most important feature of cognition—the representation of complexly propertied objects—cannot be explained by an atomistic account.

The second move Vasubandhu makes follows from this rejection of an extrinsic order: the assumption that there can be the apparent representation of an external world without such an external world, even when there is *veridical* cognition. The Buddhist is prepared to sacrifice the apparent externality of the world in order to assure himself that there is systematic cognition and knowledge. If we see the idealist move as an antiskeptical one, then it is possible to conclude that the realist assumption of an independent, albeit (for Vasubandhu) atomistic, world is replaced with an idealist assumption that veridical cognition can be intrinsic even if the representation of objects as external continuants is wrong. Vasubandhu moves from an antiskeptical assumption to an idealist conclusion. Indeed, he does so only because he cannot see how knowledge can be guaranteed unless objects are intrinsic to cognition.

It must be noted that Śaṅkara himself rejects atomism as incoherent.[40] As that is the case, even though Vasubandhu argues against an atomistic extrinsic world, the weight of his argument can be discounted in the context in which we are interested, for his Advaitic opponent in any case is not interested in defending that sort of realism. Thus, the attempt to demonstrate the failure of atomism to account for the features of cognition, while an important part of Vasubandhu's general strategy, presents no problem to the Advaitin; the latter's own conception of the extrinsic order is based, among other things, on a similar rejection of atomism. The apparently realist argument for an extrinsic order which Śaṅkara presents is entirely different from the atomistic one which Vasubandhu claims to have rebutted and which Śaṅkara likewise rejects. For this reason, I take the main argument between the Buddhist idealist and the Advaitin to lie elsewhere than in a discussion about the coherence of atomism.

The Advaitic strategy that we are concerned with here is to challenge, first of all, the idealist assumption that there can be any intelligible account of systematic experience and knowledge which rejects the external world. The criticism of the analogy of dreaming will center on the Buddhist attempt to deny the relational dissimilarity between dreaming and waking.

We will now examine the Vijñānavādin's criticism of the cognitive order and its (paradigmatically external, perceptual) objects, adhering to the contours of the argument that has been presented. Then, Śaṅkara's rebuttal will follow, including his analysis of the dream argument and the inadequacy of its support to the idealist thesis that there are no objects as are perceived to exist externally. Śaṅkara himself gives an outline of the Buddhist idealist's position in the *Bhāṣya*.[41] It is clear, however, that he must have had the *Viṃśatikā* or a similar text in mind, for his treatment is quite faithful to the Buddhist arguments. Where necessary, therefore, some of Vasubandhu's own words will be discussed in amplification of the points Śaṅkara makes.

7. The Vijñānavādin: Dreams Can Prove There Is No Extrinsic World. Śaṅkara gives a concise description of the Buddhist position. Quite simply, the system of validation, that is, the means of knowledge, the object of knowledge, and the result of epistemic activity, can all occur in systematic regularity only because they are constructively represented in cognition. In Śaṅkara's words,

For, even if it be the case that there is an external object, there can be no application of the system of validation [the *pramāṇas*] unless that object be located in cognitive content.[42]

The Buddhist is taken to hold that it is just not possible (*asaṃbhavāt*) for there to be external objects. The motivations for this view are many, some quite obscure: broadly, they have to do with the soteriological concern of interpreting the Buddha's teachings regarding the transience of the material world, and with the problems of building an ontology with the philosophical categories available to them. The latter lead to such issues as the atomicity of physical bodies, the whole-part relationship, and so on. They do not detain us here, and we will take these motivations for granted. Coming to the relevant argument, we find something like this: the common feature of representation is a cognitive state which is the enabling condition for the presentation of objects. This condition is the characteristic of experience (*anubhava-mātram*) whereby, for each cognitive instance, there is only that individual representation which exhausts the description of what it is for there to be an object of cognition. Obviously, the Buddhist view is taken to deal just with cognized objects, for there would be, for philosophers suspicious of entities actually accessible to sensory grasp, no question of entities beyond the ken of the senses. So it is understood that the Buddhist view is that an object is constituted by its being the sort of entity the cognitive faculty has a capacity for representing in an instance of awareness. Such identity-specific, that is, 'particularized', representation would not occur unless there was some unique feature to each cognitive instance itself; if that is so, it must be admitted that the form of the cognized entity (just) is representation in the content of the cognition; that is, cognition has the 'same-form' as the object in its content.[43] This argument is also attributed to Dharmakirti.[44] Identification of an object (that is, the knowledge of it) consists in cognition representing it appropriately. The presentation of objects can be explained just in terms of the contents of cognition; it is futile to posit an external order (*bāhyārthasadbhāva kalpanā*). In this way, there is an assurance that a cognition is a cognition of its object. The epistemic attainment (of knowledge) is assured because there is a correlation (or lack of difference) between the occurrence of objects and the cognition of objects (*sahopalambhaniyamādabhedo viṣaya-vijñānayor āpatati*).

Śaṅkara understands the Buddhist as arguing that this correlation is explicable only in terms of the object's being an element in the content of the appropriate cognitive episode; there is no ontic distinction between the state of objects and the state of the cognitive series. If there were to be some natural (or, more contentiously, 'real') distinction between the two, it is puzzling, according to the Buddhist, as to what would stop (cause a hindrance to, *pratibandhakāranatvāt*) the object and cognition from ceasing to be correlated in the way they evidently are in ordinary experience.

That presentation in cognition can actually include the feature of externality, and with it the possibility of independence from cognitive states even when the object is not extrinsic to the cognition of it, is unproblematic to the Vijñānavādin. Look at a dream. In a dream state, all sorts of entities are presented; and although it lacks an appropriate external object, there is a substantive distinction between apprehension and the apprehended.[45]

Likewise, it must be understood that the form of apprehension (of objects) in the cognition of pillars and so forth while awake is similar in presentation (to cognition).[46]

Śaṅkara's analysis is that the Vijñānavādin makes a claim to the effect that there is no epistemic distinction between the representation in cognition (*pratyayāviśeṣāt*) in the two cases. And, indeed, Vasu- bandhu does take such a line. In the course of doing so, he states some stock objections to his use of the dream analogy, and rejects their appeal. It is important to know how Vasubandhu himself phrases these objections and answers them, because a casual look at Śaṅkara's own critique may lead one to think that his arguments are sometimes the same as the ones Vasubandhu had dealt with and rebutted centuries earlier. But this is not so. Indeed, it is in the almost slippery formulations of Śaṅkara that one finds the fundamental theses of Advaitic nonrealism explicitly argued for by Vācaspati Miśra or Śrī Harṣa.

Let us, then, examine Vasubandhu's own formulation of the difficulties that he envisages as threatening his version of idealism. If the content of cognition does not represent (extrinsic) objects (*yadi vijñāptir anarthā*), an opponent of the Buddhist may say, there would be at least the following three problems.[47]

First, there would be no spatiotemporal regulation (*niyamo deśakālayoḥ*).[48] That is to say, experience is regular because it is determined by the stable objects of the world, which occupy a certain place

and are cognized at just that time when there is cognitive contact with them at that place. It is their occurrence, combined with the cognitive grasp of them, that causes experience at just the time and place to satisfy that condition of occurrence and no other. The Buddhist cannot ignore a causal theory of cognition which implies the existence of the extrinsic order.

Second, it would not be common to individual subjective orders (*santānasyāniyamaā ca*). Experience, if it were a cognitive sequence constructed by cognition itself, would not be, as it in fact is, of objects not limited to being presented to one subjective order alone, but accessible to other subjective orders.[49]

Third, there would be no causal function on action (*yuktā kṛtya-kriyā na ca*). Real food can be eaten and real weapons can hurt, but one is not satisfied by a dream apple.

It is clear that Vasubandhu advances these objections really in order to express the idealist ramifications of his argument. For, of course, it is the idealist's aim to give an account of experience that will mimic the conclusions of the realist. So Vasubandhu replies that as far as the first and third objections are concerned, nothing in his dream analogy will fail to cover these allegedly problematic cases.

In a dream, Vasubandhu argues, all sorts of things are 'seen' without those things being as they are seen.[50] They are not seen randomly, in all places, but in specific locations (within the dream scenario); and even these locations are not presented indiscriminately (that is, are not indifferent to systematic indexation). This spatiotemporal indexing (of dream images) is obtained without allegedly external objects.[51] Of course the occurrence of disconnected dreams does not vitiate the force of the point that there are regularities in dreams.

In much the same way,[52] action as a function of the objects of experience can be obtained as in a dream; for example, one could dream of running away from a charging elephant. It is important that the argument be that there is a parallel between apparently real actions while awake and the merely apparent actions in dreams. That is to say, in order to preserve the force of his claim, Vasubandhu must put the case that the waking life is as self-contained as is the dream one, and that consequently there is no relational dissimilarity between the two. His example here is, however, interestingly wrong. He argues that dreams can have all the causal powers of alleged waking life, for certain results can be brought about by dream

states. He illustrates his contention by pointing out that there can be ejaculation (that is, in the 'real' or waking world) when there is a dream of sexual union. But this just is an illustration of the interpenetration of dreams and the waking state, quite inapt for his purposes.

The simple solution he offers for worries about causal efficacy and effective production is this: so long as there can be apparent occurrences of such events as causal regularity and subjective reaction within dream scenarios themselves, the Buddhist can reinforce the analogy by encompassing these events within the ambit of dreams. The more there are similarities between dreams and the waking state, the more tactically advantageous it is for Vasubandhu. Since he is not arguing that one may be perpetually dreaming, the claim that dreams can be described only in contrast to being awake does not worry Vasubandhu, though, as we shall see, it should. He must simply find reasons for why an experiential order which lacks extrinsic objects is plausible. In his argumentative strategy, though not his motivation, Vasubandhu resembles Descartes.

The other objection is as to why it seems to a subject that experience consists of intersubjectively accessible objects. Rather like Berkeley, Vasubandhu is concerned about the external world, but not about other subjects. Of course, Berkeley does argue for the necessity of a mind other than one's own, but that is really God's Mind; and if he did write about other minds, whatever he wrote is lost. In Vasubandhu's case this absence of suspicion about other subjects is at one with the prevalent thought in the Indian tradition (apart from the Lokāyata materialists perhaps). Soteriological conviction probably lies behind this nonsolipsistic attitude.

In any case, Vasubandhu sets out to answer how intersubjectivity, or common presentation to different streams of cognition, is possible. He refers to the Buddhist myth of hell,[53] which is an experience of torment for the ghosts of evildoers. It is held by the Buddhists that it is morally unacceptable that the guards in that hell, who oversee the tortures carried out in unspeakable conditions, can themselves have done anything to have deserved hell; nor can they be born in hell, for creatures only enter the life cycle on earth. So, argues Vasubandhu, these 'guards' are not real creatures at all; and hell is not a place to *be* in. Rather, it is the cognitive condition under which evildoers have subjective states equivalent to experience. That condition includes all the alleged requirements of interaction with an extrinsic world. These are four: (1) the spatio-temporal indexation of each

particular experience, (2) the presentation of objects to cognition, (3) the intersubjective constancy of objects of experience, and (4) action as a function of causal efficacy.

That is to say, this hell is a hell for more than just a single subject; it is just the same sort of experience that souls which had committed similar evils have, even though the experience is the cognitive projection of each such soul. There are specific such experiences: swimming in a river of pus and filth is quite different from being pierced with spears or being flayed, and these torments are consequences of prior action, the pain that follows a consequence of that torment.

Later on, Vasubandhu adds that loss of memory (and dream visions) and other such states can be caused by the manipulative consciousness of demons and so forth.[54]

This hair-raising scenario can be seen as something like one where Berkeleyan subjects are manipulated by a Cartesian demon! The last suggestion of Vasubandhu's indeed comes quite close to the brains-in-vats scenario of Putnam[55] and others.[56] As is well known, Putnam envisaged a scenario where a mad scientist fixes up a brain in a vat and has its nerve endings wired up apparently to receive information of an extrinsic world. A possibility raised is that we are all brains in vats. The reading that one ought to give of the Vijñānavādin's tale is that there can be presentation to consciousness of the sort of entities as are familiarly interpreted as objects extrinsic to the cognitive faculty; this presentation can conform to the pattern of features that are associated with an extrinsic order, without there being such an order. There cannot be a substantive difference in the description one can give from *within* one's experiential material of what it is to have a genuinely extrinsic order, and what it is to experience systematically a projective one. If a substantive distinction cannot be made, from within one's experience, between having experience of a genuine extrinsic order and having a systematic representation of objects intrinsic to the subject, then there is nothing to stop the idealist from denying any distinctive role for the extrinsic order (postulated or real). The nonexistence of that order does not lead to epistemic breakdown. Instead, only if the presented order is intrinsically constructed could there be any meaningful epistemic activity.

8. Śaṅkara and the Extrinsic Order: The Buddhist Analogy of Dreams Fails. Śaṅkara's aim must therefore be to show that the extrinsic order is required to explain experience, contra Vasubandhu. He must also try and show what the dream analogy fails to achieve, and say to what extent it does work. This latter aim is in a sense continuous with his critique of Vijñānavāda, for while the former aim is directed at establishing the anti-idealist basis of Advaita, the latter amounts to a statement on its nonrealism.

Śaṅkara starts off with the simple assertion that external objects (paradigm-extrinsic entities, available to perception) are not nonexistent, because they are perceived (*upalabdheḥ*). The argument is directed at the Buddhist's contention that the simultaneous occurrence of cognition and its object, and the experience of the individuation of an 'objective' element being invariably correlated to cognition of it, prove the ontological identity of cognized and cognitive orders. It is usually thought that the opponent here is Dharamakīrti. There is a famous saying of his:

> Blue and the cognition of blue are not different entities, for the one is invariably apprehended with the other. One should recognize their difference as due to false cognition, as with the moon [the double moon seen by an astigmatic], which is single.[57]

This conclusion is based on the reasoning that there is no object which is unapprehended, even though all objects are commonly defined as cognizable entities; and there is no awareness of a cognition in which there is no (cognizable) object.[58] Śaṅkara questions the correctness of this analysis. The nature of perception of external objects consists in the correlative occurrence of the cognition and its object, yes. But that cognition includes a representation of the externality of that object correlated to cognition; each object is cognized with its cognitive act.[59] Śaṅkara's conclusion is that it cannot be said that the object perceived is absent.[60]

His reasoning is as follows. The Buddhist has said that the waking world can be cognitively self-contained as a dream is, for even without such things as food, one can have the experience of being satisfied for having eaten, within a dream. Śaṅkara plays on this example. What is the cognitive state of subjects vis-à-vis the objects in question? It is the *perception* that they are *extrinsic* to the cognitive faculty. So the Vijñā-navādin cannot

claim that there is no perception *that* there are objects (that is, entities extrinsic to the cognitive faculty). As for the dream where one eats and is satisfied, it is a dream of eating and being satisfied. That is to say, the self-contained nature of the dream may well be akin to the allegedly self-contained nature of the waking state, for, remember, Vasubandhu is not trying to say that we are perpetually dreaming. But it is the nature of this waking state that it is one partly constituted by a perception *that* one eats food and is satisfied. If the Buddhist is to persist in differentiating between the constitution of the perception that he in fact has (that there is an extrinsic order) and the claim that there is no object of perception, then he must assert something rather odd. As Śaṅkara asks,

> [H]ow can someone's words be acceptable if he says, "I do not perceive, and that object does not exist," even while himself perceiving an external object through sensory contact?[61]

This is rather like a man who, while eating and experiencing satisfaction says, "Neither do I eat nor do I get any satisfaction".[62] This is all just to extract from the Buddhist the admission that it is not as if there is no perception of an object (*na kaścidartham upalabhe*) but that there is no ontological disjunction between the perceived and perception of it (*upalabdhivyatiriktam nopalabdha*).

The immediate question Śaṅkara asks is what the disjunctive elements are. The fact is that experience does not consist of a series of subjective grasps of *perception*, but of objects *perceived*. The Buddhist cannot make the case that the idealist metaphysics adequately explains the structure of experience. That experience is just not explained in terms of a subject's ordering of various perceptual instances, but rather of the subject's ordering of what gives content and form to that perception. Two issues run together here: (1) there is a claim for the need to distinguish between perception and the object of perception; and (2) there is a claim that the perception of the externality of the object perceived is the basis on which the distinction is postulated. Śaṅkara is making a case that the latter claim is self-evident, thereby hoping to substantiate the former. What he seems to say is that it is a curious way of going about things to conceive that people take their cognitive life to consist of an apprehension of the sensory mode of the presentation of an object, rather than the apprehension of an object (usually)

with an awareness of what sensory mode it is by which that object is apprehended.[63] Saying that the perception of an object is correlated with its object, and that the 'grasp' of an object is nothing more than the subject's perception of it, is not the same as saying that that object is nothing else than that perception. If it were the same, there would not be any issue of the extrinsic nature of objects being partly constitutive of the perception of objects. One may put the Advaitic question this way: if the essence of objects is their perception, what is the essence of their perception as extrinsic to the cognitive faculty? Śaṅkara thinks that the perception of this extrinsic nature is an ineliminable feature of experience, and that therefore the conditions required for experience must be conceived in such a way as to include the possession of this feature.

> And that is why an ordinary person understands these others [the Vijñāna-vādins] as assuming the existence of an external entity even while they deny it by saying. "That which is only the content of an internal state appears as though external."[64]

Śaṅkara here is quoting Diṅnāga, who claims that the object-based causal support (*ālambana*) of perception is not given by external objects but is the form given to cognition by its own internal construction (*antarjñe-yarūpa*).[65] He latches onto the role of the concept 'as though external' in the Buddhist explication of the conditions under which experience occurs. This conception of externality is important, because that is what plays a determining role in regulating what are objects of cognition. It is Śaṅkara's contention that experience can be made sense of only if the conception of an order extrinsic to the cognitive faculty is entertained. Once it is admitted that the conception of externality (and of objects being extrinsic in general) is fundamental to the explication of the conditions required for experience, the force of the idealist's rejection of the dual aspect of experience and the purely projective nature of the epistemic life is lost.

> Accordingly, those who wish to accept truth as what is experienced should admit the external presentation of objects as they appear, and not hold the notion that it is 'as if' objects are presented externally.[66]

Śaṅkara accepts the premise that truth is put in terms of experience; he is not committed to any realist notion of a truth (or notion of the nature of the extrinsic world) independent of experiential constraints. But all the same, even with that nonrealist premise, he still concludes that the idea of external objects must be admitted, unlike the Buddhist. He wants both a conception of externality and an experiential constraint.

The role of the material of experience is therefore significant, as is evident in Śaṅkara's critique of the dream analogy.[67] But first, one thing must be noted concerning his analysis of dreams. It was suggested earlier that pointing out the essential relational dissimilarity between dreams and waking is not really very useful against the Cartesian hypothesis. That was so because the role of dreaming was only to bring attention to error and thereafter to sketch the scenario of pervasive error. In Vasubandhu's case, however, this criticism does have some force. For him, the role of dreams is to support the thesis that there could be cognitive life sans objects. The argument in Vasubandhu revolves around the absence of external objects in dreams, where that absence is defined in terms of its being the opposite of what objects are when one is awake—present. There is thus an ineliminable reference to the state of affairs when one is awake, and this reference is important. It has been suggested that Vasubandhu's example of real ejaculation as a result of a dream of coitus fails at just the point where it should not: it breaks down the self-contained nature, which he wishes to preserve, of each world, the waking one and the one in dreams. Śaṅkara remarks dryly at a later point in the *Bhāṣya*,[68] that if dream states were claimed to have effect in the 'real' world, a man dreaming of visiting the land of the Pañcālas would then have to wake up there. Śaṅkara puts the case in terms of the material of experience. There is a contrasting perception of the presence and absence of objects, which contrast enables Vasubandhu to draw his analogy. But what is this analogy based on? The answer: the material of waking experience itself. And Śaṅkara thinks it is quite wrong for the Buddhist, who distrusts the experience of the perception of externality, nevertheless to want to use the case of his cognition in a dream to cast doubt on the conditions under which there is experience in the waking state. How can he at one and the same time question the legitimacy of the structure of experience and yet construct an analogy whose logic is based on that experiential order itself?

That being so, it cannot be asserted by a man who comprehends the difference between the two [states] that the apprehension of the waking state is false, just because it is an apprehension resembling that in a dream. And it is not proper for knowledgeable people to deny their own experience.[69]

Moreover, because it will contradict one's experience, one who cannot establish the lack of objectual support possessed by cognition in the waking state should not wish to establish such a lack of objectual support on the basis of its similarity to cognition in the dream state [for that would itself contradict experience].[70]

The rule that Śaṅkara explicitly evokes here is one which states:

If a characteristic is not itself constitutive of the identity of an entity, it cannot be adduced as being possessed by that entity on account of that entity's similarity to another [entity which does possess that characteristic].[71]

If nonexternality is not constitutive of the identity of waking experience, it cannot be adduced as being possessed by waking experience on account solely of waking experience being similar to dreaming experience (whose identity is indeed constituted by the nonexternality of objects).

The argument here is tactically similar to the antiskeptical one that one must have waking experience to understand what is different about dreaming. But the issue is different in this regard: in the Cartesian case, the example is set up in such a way that to be awake is to be in contact with an extrinsic order, and therefore to have veridical cognition; to dream is to *fail* to have such contact, and therefore to have erroneous cognition. The Cartesian argument equates the absence of an external order with which to be in contact with a failure to *know*, this can be done only against the background of the assumption that to know is to be in contact with an independent extrinsic order. If so, it would be logical for a realist-minded skeptic to say that one must have veridical cognition (that is, be awake) to *know* what it is to have erroneous cognition (that is, to be dreaming). Then, the relevant question would be to ask how that veridicality, realistically defined as contact with an independent extrinsic order, is itself assured in

the first place (as it would fail to be so if the demon deceives one). In the case of Vasubandhu, veridicality is not defined as such contact. Here, to dream is to have cognition without an extrinsic order; therefore, if there can be cognition without an extrinsic order, to be awake may also be to have cognition without an extrinsic order. So, on Vasubandhu's view, veridicality is not defined in terms of what dreams fail to have vis-à-vis waking. That is to say, dreams are not defined as failing to be veridical by virtue of being out of contact with an independent order, because the idealist thinks that *all* cognitions occur without an independent and extrinsic order anyway. Dreams do not lead the idealist, unlike the realist (skeptic or antiskeptic), to think that apparent contact with the objects of cognition may be erroneous. The idealist thinks, instead, that the objects of cognition may not be external at all in any case. If so, it is not futile to criticize the idealist argument by saying that one must be able to *know* what it is to be awake to know what it is to dream.

The realist antiskeptic begs the question of how *veridicality* is defined as contact with an independent and external world, but he is not vulnerable to the doubt as to how dreams are defined vis-à-vis waking (for the realist defines dreams in terms of an absence of contact and waking as the presence of contact with a presumed external world). The idealist is *not* guilty of begging the question of veridicality (that is, he does not question-beggingly define it in terms of a presumed external world); but he does beg the question of *externality*, that is, of how he came to presume that he had access to this concept in the first place if the externality-presenting features of waking experience are to be rejected altogether. Vasubandhu, of course, does argue against the notion of external objects, which he takes to be conceived atomistically by his realist opponent. Since he finds the notion of atomistically constructed external objects paradoxical, he rejects altogether the possibility of explaining cognition in terms of (even nonatomistically construed) external objects. Vasubandhu then takes it that dreams disprove the need for any notion of externality to explain cognition, forgetting that the very notion of externality (albeit a nonatomistic one, which is to say, the notion with which the nonatomistic Advaitin is concerned) which he questions is one he himself gained only from waking experience. This criticism of Vasubandhu would not, of course, establish the externality of objects as the source of veridicality. If the Advaitin claims that it does, he would indeed beg the question himself. But the Advaitin argues only for the

requirement that there be a *conception* of externality so that the conditions under which experience occurs may be explicated.

9. The Extent and Limitations of Transcendental Arguments for an Extrinsic Order. Śaṅkara's criticism of the Vijñānavādin's denial of externality, then, is based not on any proof of that externality, but on the analysis of the conditions under which there is presentation of objects to cognition. Clearly, Śaṅkara takes his commitment to an extrinsic order to be established in some way because of the structure of representation in cognition. This may, I suggest, be equivalent to the claim that the order of objects is constrained by cognition for the Advaitin. The constraint is: the order of objects must possess the characteristics it does because that is what would explain why the cognitive order is constituted the way it is by representation of an arrangement of objects. Objects are part of the extrinsic order, in the way they are conceived to be, to the extent that the experience of them can be accounted for in this way.

Śaṅkara now has the Vijñānavādin claim a nonempirical reason for his rejection of externality (and by extension, the extrinsic nature of objects). The Vijñānavādin says that he came to the conclusion that there is nothing extrinsic to the cognitive faculty because it is just not possible for objects to exist, that is, to be external entities. Presumably, this is based on the consideration that if there is both a correlative occurrence of perception and its object, and a real distinction between them, then nothing could adequately explain how these distinct entities—a concept-loaded perception and a complexly propertied object—are correlated invariably and systematically as they are in veridical cognition (for, remember, Vasubandhu thinks that if that object were an atomistically constituted one, then the nature of the perception of it would not be explicable).

Śaṅkara's reply is not about the legitimacy of the claim that no object could possibly exist externally. His answer is best seen as an implicit criticism of arguments based on 'transcendent' reasoning: reasoning not legitimized by the possibility of confirmation through cognitive grasp. The criticism is that the Buddhist does not pay attention to what experience presents, concerning himself instead with an explanation based on what he thinks experience *must* present (namely, a false sense of extrinsic existence). Now it is doubtful if the Buddhist always argues this way; the problem with Vasubandhu only seems to be his interpretation of the

conditions of experience. However, it must be admitted that the polemical writings do show this tendency; for example, Vasubandhu says, in the *Madhyānta-vibhāga-kārikā*: "The nonexistent is imagined,"[72] where there is no particular argument to back up the claim. But then again the Advaitins themselves are hardly miserly with polemical statements. Be that as it may, this criticism should more properly be interpreted as a pretext for Śaṅkara to state his own view on the relation between the material of experience and systematic epistemic activity.

> The possibility or impossibility of the occurrence of entities is determined in accordance with the applicability or nonapplicability of the system of validation [the *pramāṇas*], but the applicability or nonapplicability of the system of validation is not ascertained in accordance with the [postulated] possibility or impossibility [of the occurrence of entities].[73]

> It is possible that that occurs which is accessible through any one of the instruments of valid cognition, such as perception; and that which is not accessible through any of those instruments of validation, it is impossible that it exists.[74]

It is cunning of Śaṅkara to accuse the idealist of ignoring the constraint from cognition, when it is the idealist who most wishes to deny any entities —like atoms—which do not form the content of the representations of the cognitive faculty; and yet, it does seem justified. The Buddhist may wish to deny that anything more than the content of cognition is available to the subject, and that therefore there is nothing more to the conception of the objects of experience than that content. But the content of cognition also provides the subject with the conception of the externality of these objects. To subordinate the presence of that latter conception to the desired conclusion derived from the former conception seems dishonest to the Advaitin. The application of the system of validation leads to the availability and requisite acceptance of a proper (presumably nonatomistic) conception of externality. To deny that (just because one particular conception, the atomistic one, seems problematic) is to transgress the rule that one should not tailor the system of validation to the ideological postulation of what is possible and what is not. This is more than just a criticism of the Buddhist; it is one arm of Advaitic metaphysics. The order

of objects is the one upon which the system of validation is operative. Member elements form the objects of epistemic claims which can be validated or invalidated by the use of the *pramāṇas*. If claims were made that there are certain objects or, in general, an order of objects, and these claims cannot be validated by use of the *pramāṇas*, then it cannot be claimed that there are such objects. From the available textual material, it seems safe to say that this should mean that there cannot be any epistemic activity if claims are about entities taken as inaccessible to cognitive grasp. It is wise not to read into this the claim that Śaṅkara says that only what is cognized is in some sense 'real'. This latter interpretation would be at odds with his hostility to the perception-bound doctrine of the Buddhists.

We then come to what is effectively the other arm of Advaita metaphysics (in the area which concerns us here).

External objects are made accessible to all the appropriate instruments of validation.[75]

This is crucial to Śaṅkara's thesis. The analysis of dreams is meant to establish the point that that analogy does not work well enough to explain experience without recourse to at least some conception of externality. The critique of the dream analogy has led to the expression of the role of the *pramāṇas*: (a) they work as a system of validation, and (b) that system implies a constraint on the cognized order. Now he claims that the very elements of the cognitive order are characterized by the fulfillment of two conditions:

(i) There is no representation in (cognitive) content of an object if there is no such requisite object.[76]

(ii) The externality of objects is simply (what is) perceived.[77]

The second condition is important, for Śaṅkara argues that the conception of externality itself cannot be argued away; there must be an explanation for this ineliminable datum of experience. He does not seem to think (it is sometimes unclear how much of a realist he took himself to be) that he has derived a proof that there must be an independent extrinsic order in the realist manner. But it does seem as if he is certain that experience cannot be anything at all as systematic as is required for the application of the system of validation, without accounting for this sense of externality. And given this feeling, it is clear that condition (i) must be interpreted causally. That is

to say, though there is a correlation of cognition and object, they are not ontologically identical. From the fact that when there is cognition that there is an object, and cognition includes a representation of that object as external to it, it can be concluded that it is by virtue of there being such an object that there is the cognition of it. It should be noted that Śaṅkara once more adheres to the nonrealist line on the conception of the extrinsic order. Such a conception is not the same as the one Vasubandhu rejects in the *Vimśatika*, where he argues that causal regularity is a feature of dreams as well. Śaṅkara's answer, in effect, is yes—but from that it does not follow that causal regularity is not a feature of (waking) experience; and the illusion of regularity in dreams has itself to be explained, especially when it has been shown that the conception of the nature of experience is a prerequisite for the understanding of the illusion of experience in dreams.

The claim that is defended is that there needs to be a distinction as described by the Advaitin. Śaṅkara says,

> [So] it has to be admitted that the regularity of the correlative appearance of cognition and its object is due to a relation of means and the goal, and not due to identity.[78]

Objects are just those entities toward which cognition is directed; consequently, cognition and objects are correlated because it is for the purpose of grasping objects that there is cognition. With this we conclude our discussion of Śaṅkara's critique of Buddhist idealism. He has attempted to show that an account of experience and cognition cannot dispense with the conception of an extrinsic order: he is a 'realist' to the Buddhist idealist. But this is only half the picture. In the next section, we will consider what it is that makes the Advaitin a nonrealist just as much as he is an anti-idealist. The issue is best brought out in the way the Advaitin accepts the analogy of dreams in a certain way, even if it is not the way the Buddhist does.

III

For the sake of historical accuracy, it should be noted that Śaṅkara was intent on establishing, through scriptural interpretation and argument about the legitimacy of scriptural testimony, the existence of an 'ultimate reality'

(*pāramārthika sattā*), the attainment of which is liberation (*mokśaḥ*). My interpretation of the dream analogy should not be taken as a denial of the importance of his soteriological concerns. The attitude here is that it is possible to examine the epistemological and certain metaphysical concerns of Śaṅkara which place the philosophical emphases elsewhere, without doing a disservice to the understanding of Advaita. As such, the specific issue of the use of the dream analogy leads up to the Upaniṣadic doctrine of liberation, but I shall be reading the text for that part of the argument which does not lose its legitimacy even if the scriptural underpinning is not considered, and the purely metaphysical issue alone is attended to. Perhaps, for one familiar with the attitudes of the Indian philosophers, this is one example of the coexistence of soteriological and analytic concerns which characterizes so many Indian texts.

1. The Legitimacy of the Analogy of Dreams. It has been pointed out by Ingalls that despite accusations that Śaṅkara's views were not profoundly different from those of the Buddhists he criticized, the fact is that there are substantial differences between the two.[79] Ingalls notes the fact that "Śaṅkara did not *begin* by denying the reality of the workaday world …" (emphasis Ingalls'). He thought, instead, as we have seen, that "the Buddhists completely reversed this process." In this regard, Ingalls comments[80] that Bhāskara is misguided in thinking[81] that Śaṅkara implicitly adopts the Buddhist position that dreams prove the nonexternal nature of the world. Ingalls points out that while his followers did slip into such arguments, Śaṅkara himself did not. He admits that even though Śaṅkara argues as a realist against the Vijñānavādin, he also uses the argument from dreams himself. Ingalls does not think that that makes him inconsistent or hypocritical. He points out that Śaṅkara does not explicitly reject the 'realist' argument against the dream analogy, as he would have to if he were an idealist. This does, of course, still leave open the question of why he *did* use the argument from dreams himself. We will attempt to answer this question now. Nevertheless, there is a valuable insight to be gained from Ingalls' comments, even if it is not immediately obvious. Śaṅkara argues both against the idealist use of the dream analogy, and for its legitimacy, which is to say he does not himself argue against the realist argument against the dream analogy. This indicates that the points he wanted to make in his rejection of the idealist use of the analogy, and his

acceptance of the use of that analogy, are different but complementary. It is their combination which makes his views 'nonrealist'. Ingalls' suggestion was that for historical and psychological reasons to do with the long history of Buddhist-Vedāntin rivalry, Śaṇkara would not knowingly have adopted a Buddhist position. This will be a more purely philosophical argument.

The Advaitin's view of what is legitimate about the dream analogy is that it raises the possibility of not being able to apply a general epistemic rule. That rule, call it [RC], is as follows.

[RC] to have veridical cognition is to be able to know that the extrinsic order is one which is accessible to the subject, such that the object of *this* cognition can be construed to be a member of that order, and therefore an object of knowledge.

The application of [RC] is not supposed to show that objects "really" exist, if '"really" exists' means 'proved, without appeal to the nature of experience, to exist as an object'. Yet the whole issue is held to be about what '"really" exists' means. For the Advaitin, if an object '"really" exists', that means something like that it is 'proved that the object would have to exist if the experience of it is to possess the features that it (the experience of that object) does'. Notice that as far as the metaphysical question is concerned, the Advaitin would only be prepared to give a transcendental argument about the conditions required for experience, rather than a transcendent description of the putative objects of the universe. Given this disagreement about the nature of physical reality, the question takes the form, not of whether objects "really" exist, but of what can be the correct explanation of the notion '"really" exists'.

What do dreams show, and what is the relevance of what is shown? In waking life, one is defined as *knowing* that there are no objects located and individuated as presented in dreams. But it is not known at the instance of dreaming that there are no objects individuated as presented. The fact that experiences in a dream are mere misperceptions is not grasped by one in a dream.[82] It is therefore not known while dreaming that one does not have access to the extrinsic order. Of course one is held to *know* that there is no access to an extrinsic order in dreams because one *knows* that there is access to such an order while awake. Given this sense of 'know', it is clear that one has to be awake to grasp what it is to dream and not have access to

an extrinsic order. But one does *not* know while dreaming that there is no access; one *knows* when awake that one does not know in a dream that there is no extrinsic order. But the point has already been proved. Knowledge of failure to cognize the extrinsic order is available only in cognition (when awake) relative to another cognition (while dreaming). Relative to what is it that it is *known* that there is an extrinsic order cognized while awake? After all,

> cognition with the stamp of conviction, supposed to be attained through veridical perception, does occur before waking to an ordinary man when he is asleep and sees things high and low.[83]

What it comes down to is that there can be neither a presumption that there is no independent extrinsic order nor proof that there must be such an independent order. So the logical possibility of an uncognized order cannot be ruled out, and that is what dreams eventually lead us to think. But does this mean that the cognitive life may be an illusory one, just because it cannot be ruled out that there can be a currently uncognized order, just because there are limits to empirical inquiry?

Śaṅkara had argued in the critique of Vijñānavāda that any conception of what it is to fail to be presented with objects (as in dreams) is parasitic on the conception of what it is to be presented with objects (when awake). Also, the conception of a presentation of extrinsic objects is an ineliminable constituent of the content of experience. The system of validation, which the *pramāṇas* comprise, is derived from the structure of the cognized order itself. Validity consists in the justified possession of the representation of the causal object (which is an element of the cognized order), and the system of validation makes available to cognition that justification by which a cognition is determined to be valid. For example, it is the tree being green and tall that causes me to see it as green and tall; but I can claim truly to have seen—and thus know something about—that tree only by being able to say of it that the tree I saw was green and tall. So, being able to perceive the tree (where perception is an instrument of *pramā*) is both the cause of my representation of it, and the justification I give for claiming to represent it veridically. Therein lies the regularity of cognition, based as it is on the nature of its objects.

Although the regularity of the cognitive order is dependent upon the regularity of the cognized order, the notion of the regularity of the cognized order is derived from the regularity of the cognitive order itself. This is a virtuous circle that the Advaitin does not wish to break, and cannot see how it can be broken. Returning to dreams: they are held to be cases of erroneous cognition. That is to say, we are able to apply the standards of validity to dreams and find them invalid. Underlying this judgment is the asymmetry between the dream and the waking states, which I have called a relational dissimilarity. Herein lies the explanation for our understanding of the notion of invalidity, and of the invalidity of dreams in particular.

> For someone having cognitive activity while dreaming, being bitten by a snake and bathing in water are events perceived to occur. Should it be argued that it is not true that such events [as the perception of these occurrences] occur, this is the reply: though it is not true that the actual events such as being bitten by a snake or bathing occur, there is comprehension that such occurrences as illusory perception did take place, for such awareness is not superseded even when one is awake. For even when one knows after waking up that the perception of events like being bitten by a snake and bathing in water were false, surely, one does not consider it false that one had knowledge of illusory perception.[84]

This is the essential point about dreams and the invalidation of cognitions. Dreams are not self-contained. Invalidation, as of dream cognition, is possible only because there is a system of validation, and the system of validation is available only because of the content of waking experience.

2. Two Conclusions from the Advaitic Use of the Dream Analogy and Their Consequences. This leaves us with two conclusions. (1) There can be cognitive states purporting to represent an extrinsic order even without any *knowledge* that there is an extrinsic order. That is because there can be no *knowledge* that there is an extrinsic order in dreams, for *no* extrinsic order is presented in dreams for any knowledge of that order to be possible then; but there can be dream states. If that is so, there is no general proof that there cannot be a cognitive order which fails [RC] in the realist sense. It cannot be ruled out that there cannot be some other order of reality which is not

normally (currently) cognized. (2) The conception of veridicality is dependent on the content of experience itself.

Conclusion (2) is the backbone of the argument that though we can discount dreams because we are able to judge that no extrinsic world is involved in it, we can so judge only because we have standards for that judgment (the system of validation) derived from experience—experience, that is, whose content is explicable only in terms of a presented extrinsic world. So if we use 'know' at all, we do so by virtue of our experience of an extrinsic world.

Conclusion (1) is more complex. The realist, who thinks that the extrinsic world is the sole and determinate real order, must stand by the requirement that cognition obey [RC] in a 'realist' way; that is, the order of objects of which experience is claimed is an order established to exist independently of the nature of experience. The Advaitic argument is that one cannot discount the possibility of cognition failing to meet [RC] in the realist sense. If there is an absence of proof that there must be *nothing other than* the extrinsic world (for that is what is meant by 'sole and determinate real order'), then the possibility that there may be a reality other than this extrinsic world cannot be discounted.

In dreaming, we have no proof that the 'experience' we have cannot 'give way' to some other sort of experience. When awake, we do see, by the argument from (2), that that inability to present proof of a sole and determinate dream world was founded on the fact that there *is* an order or reality to which we had no access while dreaming, and that there is an experience (that of the extrinsic world) to which dreaming 'gives way'. Now confronted with our inability to prove that our experience of the extrinsic world is the experience of a sole and determinate reality, we must consider the possibility of whether this inability is in turn founded on there being an order of reality to which we have no current access while awake, an order the experience of which our current experience could 'give way' to.

Can experience in the waking state be invalidated for this reason? The Advaitin thinks not. For the fact is that validity is a conception which is available only insofar as there is experience under conditions requiring the existence of that extrinsic order which explains the current structure of experience. There is no proof that there is an extrinsic order other than that it is required to explain experience. But just for that reason, there is no

proof that there is a system of validation other than that it explains the regularities of what is currently experienced. The notion of validity is available only because experience is in fact this way, and is just of this extrinsic world. If there were a state asymmetrically related to the waking state, then its existence could not render cognitive life invalid in any sense in which we use the term. The precondition for the application of the system of validity is the availability to experience of that extrinsic order which is required if the content of experience is to be what it is. If there is an order of reality which is possibly inaccessible to current experience, it would not be the order which validates or invalidates that experience. What would be the case if, say, there were indeed to be another hitherto unexperienced order and it is then 'experienced' (or there is some analogous contact)? The answer is that it would entail some 'system of validation' (or some analogous regularity-extracting system) which cannot be said to possess the same sense of validation that is currently available. After all, it is not as if there is regular interanimation between this state and the empirical one such as the one available between dreams and the empirical state. Of course, because of their belief in the authority of the scriptures, the Advaitins do claim that there is an 'ultimate' experience of realization (*brahmānubhava*) which would not be recognizable, or even describable, from current empirical states (that is, experience). But simply for the reason given, they also insist that the legitimacy of experience as it is known in this world cannot be denied, in the sense that there is no meaningful construal of invalidation that can be given in that case.

> Empirical practice, conforming to all the instruments of validation, cannot be discounted unless some other 'order of reality' is realized; for unless there is such an exception, the general rules obtain.[85]

This is by no means a clear position. The greatest uncertainty perhaps attaches to the issue of what should be made of the cognitive constraint on the system of validation. The reason for the problem, apart from the purely exegetical one of not having sufficient information in the text, is based on this consideration: as part of its steadfast opposition to the Buddhist theory that we somehow construct the objects of cognition, Advaita seems to reject the notion that physical reality is, in however sophisticated a manner, precisely our construction. Instead it seems to say that we cannot in fact

think other than as we do because how we think is derived from how we have experience, and how we have experience cannot be explained unless there is an extrinsic order from which how we think is derived. Yet what that extrinsic order is, we cannot say, other than through whatever experience we have, and therefore on the basis of how we think. This leads the Advaitin to combine two theses. One is that there could be an order of reality which is not the one explained as constituting a condition for the occurrence of current experience. The other is that we cannot be wrong about what we experience because what can be wrong is something we can say only about what is experienced, for wrongness is derived from what is cognitively or experientially available.[86]

3. Securing the Extrinsic Order through Transcendental Argument: Śaṇkara and Kant. The hypothesis that we may lack all veridical contact with an extrinsic order of reality may be advanced on the basis of the admission that although we possess a system of validation and a notion of invalidity, there may be no experience of that order which alone can render cognition valid. In rebuttal, however, we may say that it is not clear how the conception of invalidity, which is parasitic on the content of experience, can be applied to the regulative basis of this supposed order which is *ex hypothesi* not experienced. If we understand the hypothesis because we understand the notions of validity and invalidity, we do so precisely because we have the sort of experience we have. It would be unintelligible to suppose that there can be any such order, failure to cognize which renders cognitive life invalid.

   Alternatively, the hypothesis can be advanced that there may be an unexperienced order of reality and that that possibility cannot be dismissed. In that case, the answer could be that that order cannot be what constitutes the grounds for validity or invalidity, because what is available as the conception of validity is coextensive with what is experienced. Therefore, there may be an unexperienced order, but it would not affect the validation or invalidation of cognition.

   Albeit with much caution, some resemblance between Śaṇkara's strategy of tying the nature of ordinary experience to the objects of experience and Kant's must be mentioned. In the "Transcendental Deduction,"[87] Kant asks what the objects of representation are. On the one hand, they are 'nothing but sensible representations' and therefore cannot be capable of existing

outside the 'power of representation'. But on the other hand, we speak of objects as distinct from, yet answering to, our concepts of them. The concept of what these objects are comes from the experience of a systematic order of perceptions, that is, the representation of these objects. That is to say, the nature of experience is such that that nature (of systematic interconnected perceptions) gives us the ground for holding that experience is of an order extrinsic to cognition of them. Something has been said about what Śaṇkara requires of the cognition of objects, and the systematic complex that he requires surely looks like the sort of interconnectedness Kant talks about. There is, of course, more to this in Kant. Having shown in the "Aesthetic" that time and space are the forms of 'inner' and 'outer' sensibility, he thinks that the representation of an object in sense is nothing other than of what appears to us. Objects as perceived, therefore, are mere representations, not what they are without the imposition of space and time on the representation of them, though this space, in itself "a mere form of representation, has objective reality." There must, however, be an object which corresponds to our sensible knowledge of it, which is necessary to prevent knowledge through the interconnected nature of our experience "from being haphazard or arbitrary": the thing-in-itself, the object x, distinct from the representation of it and "nothing to us." As emerges in the "Paralogism of Ideality" (in the first edition), and in the section on dialectical inferences, this combination of sensible representation and things in themselves is crucial to the critique of idealism. Now, Śaṇkara's claim that there is no doubt that the content of experience includes the representation of external objects parallels that of Kant. Kant talks of represented objects as those things "the immediate perception [consciousness] of which is at the same time sufficient proof of their reality."[88] Further, in the intention that the role of objects in the regulation of the cognitive order and the inherent externality of objects of experience must be used against their opponents, the two are like-minded. But everything else looks different.

   Obviously, there is nothing in Śaṇkara like the categories, nothing like inner and outer sense. His strategy is different as well. Kant's contention that there is an immediate experience of external objects is directed at the sort of representationalist he calls the "transcendental realist who … plays the part of empirical idealist." The point that the representation of objects in experience is of objects that are indeed experienced is made in order to

dismiss the view that objects are merely inferred from the subject's access to the core of perception alone. Kant's aim is to counter the conclusion that it is uncertain whether experience is directly of external objects. Śaṇkara's point, on the other hand, is aimed primarily at what Kant would call a dogmatic idealist who claims that external objects do not exist. This aim of Kant's has to do with a more serious point of divergence. Kant, after all, wants to give an assurance that what is experienced must be what is real, in that it is a requirement of his metaphysical project that the order of objects must be the one which causes experience. Which is why, of course, things-in-themselves are central to his position. Strawson has noted[89] that, in the "Deduction" as elsewhere, Kant's thesis depends on a perception which results in sensible representations, but representations whose regularity must be determined by the things which have to be the way they are, even if how they are in themselves cannot be known. Strawson contends that there is no need to rely on a notion of a 'real' order of independent objects, for which sensible objects are a surrogate. It is quite enough to accept that "this conception would be empty unless experience contained such a ground for it as it does in that connectedness which makes possible the employment of ordinary empirical concepts of objects."[90] This is the well-known deflationary reinterpretation of Kant, which has been both defended and attacked, and I shall not go into its plausibility. However, it should be noted that, in a very important way, if Kant is to be interpreted rather than reinterpreted, then certainly the thing-in-itself is central to his position. As he himself sets up the issue, dispensing with them would push his position toward the sort of idealism which depends on the world being somehow constructed by spontaneous, subjective concepts or out of phenomenalistic entities. Both are offered as views he actually held but, as with Śaṇkara, only by ignoring his hostility to that sort of idealism. Things-in-themselves seem to have explanatory value as regulators of perception in that judgments on appearance must be in agreement with them; the matter of the unverifiability of their nature cannot discount their conceptual importance without an extremely strong empiricist interpretation of verifiability.[91] That is entirely in keeping with Kant's own view that the problem with empiricism is its refusal to go beyond the merely presented, and involves the Kantian strategy of postulating just what must be the case if the empirically available is to be explained. It is controversial, then, whether

Kant, in postulating an order of things-in-themselves, transgresses the limits he himself sets.

Be that as it may, both the Kantian and the Strawsonian strategies are concerned with stopping skepticism about knowledge of an external order. But the antiskeptical strategy is seen in both instances as consisting of an argument which allows an external order to determine, in one way or another, the regularities of experience (this depends on giving Kant the benefit of the doubt about his views on the nonsubjective source of the concepts of objects); that experienced order is the real (that is, the veridically experienceable) order apart from which there can be none other, and therefore experience cannot be other than what it is.

Now, Śaṇkara has nothing like a theory of things-in-themselves. His view of presented objects is altogether more austere than Kant's. He simply believes that experience can only be explained in terms of the apprehension of extrinsic objects, and that, beyond the availability of a theory dependent on that apprehension, there is no independent proof that there must be such objects. He is in agreement with the Kantian view that everything depends on the nature of experience in the explication of the nature of an extrinsic order of objects. He is nearer Strawson in not seeking a hidden order of objects, instead being content with there being such an order as is experienced. But transcendental arguments of the Kant-Strawson sort play a much more modest role in Śaṇkara's scheme of things. Experience as it currently is cannot consist of anything other than an extrinsic order if it is to exhibit the regularities it does and the systematic epistemic activity it affords. But that cannot show that there must be just that extrinsic order and that there must be just this experience alone. These cannot be guaranteed.

Either transcendental arguments do only what a nonrealist takes them to do, and show that experience can be accounted for the way it is only if an extrinsic order consistent with the systematic nature of that experience is postulated, or they can go beyond experience in some manner by yielding conclusions about how things are. But if transcendental arguments actually involve the nature of experience as the fundamental ground for explication, any such argument will be tainted by the nature of that experience and will not say anything more than that experience allows that that is how things are. It cannot, of course, merely be presumed that there is no proof of an extrinsic order or a world which accounts for how things are independently of experience; but no such proof is at hand. There may be proof that there

can be an independent order, but would this show that it is just that which is currently *experienced*? So long as the material of experience is central to an argument, the nonrealist will feel unsure about the likelihood of anything more than what he has shown. Perhaps there can be proof without experience, one that would involve Cod, for example. But that is another question altogether. And this is where Śaṅkara is so different from either Kant or Strawson. He will not guarantee that the currently experienced order is the independent extrinsic one, only that such an order would explain why experience reveals the system it naturally does. If any system is available at all, it is one which is available through the nature of experience as it is.

4. The Advaitin's Nonrealism. The conclusions we examined earlier—(1) and (2) in part 13—thus amount to this: there is no other notion of what it is to have systematic experience than the one available from that extrinsic order which is itself currently available to experience. But because of all that has gone before, it cannot be proved that this *must* be the sole order of reality.

This is where the Śaṅkarite wants to be for soteriological reasons. Here is why: he wants to claim two things.

  (i)   The reality of Brahman is not the experiential reality of the world; to experience the world is not to experience the reality which is Brahman.
  (ii) But at the same time, experience of the world is not, at the time of experience, illegitimate/invalid.

The usual challenge is to say that these are contradictory theses. If Brahman is the reality, then current experience is invalid. If current experience has valid standards, then it cannot be cancelled out in relation to Brahman.

The Advaitic strategy, then, is to secure a way of combining these theses. The Advaitin must show that

  (i') Current experience is not of the sole and determinate reality;
  (ii') but the standards for the validation of current experience are legitimate.

If (i') is correct, then it would be possible at least to make the claim that experience of the world does not exhaust what there is in reality, such that the possibility of experiencing some other order of reality— Brahmab—can be entertained. If (ii') can be defended, then the worry that all current

experience is somehow meaningless or empty—a skeptical and self-defeating stance par excellence—can be met, and accusations of self-refutation themselves refuted.

Our reconstruction of Śaṅkara's arguments leaves us with two moves:

(i*) Nothing that is available in our experience, that is to say, no knowledge claim which can meet the standards of the *pramāṇas*, allows us to claim that what is currently experienced can never be invalidated. This is the real lesson of the analogy of dreams. Dreams teach us that even with a consistent system for the validation of knowledge claims, nothing in what is experienced will allow of the noninvalidable assertion that what is currently experienced is the sole and determinate reality. Consequently, the soteriologi-cal claim, that this world is indeed subsumed by the reality of Brahman, cannot be gainsaid so easily.

(ii*) The system for the validation of claims arising from experience itself derives its authority from what is experienced. This was what the analysis of the *pramāṇa* theory taught us. The system of validation is legitimately applicable so long as that to which it is applied is the very same experienced world from which the system's authority is derived. Since the *pramāṇa* theory is understood in just this way—as being about the world from which its causal authority is derived—the legitimacy of the theory is limited to the currently experienced world. If all claims are valid or invalid because they succeed in or fail the tests of the *pramāṇa* theory (the system of validation), the validity of experiential claims is circumscribed by their being about the world that is experienced. The reality putatively behind the world would be legitimately and coherently known only according to standards derived from *it*, but these standards—the standards of yogis and realized souls—are currently unavailable to ordinary subjects.

It is clear that (i*) addresses the issue of (i'), and (ii*) that of (ii'). Alternative (ii*) also points to why nothing philosophical can be said about the nature of the ultimate reality: the standards required to know it are simply unavailable to us because we have not experienced that reality. On the other hand, we do have some sort of experience, which the transcendental argument has shown is possible only if it accords with the *pramāṇa* theory, and the claims to know which we make on the basis of that

theory are perfectly legitimate ones so long as they are about the objects of this currently experienced world.

This is why the epistemic modesty of the Advaitin ultimately leads to a quite radical conclusion about the possibility of an unexperienced order which will nevertheless not render empirical cognition invalid. From the point of view of the Kantian tradition, this leaves it as a matter of decision whether what results is a skeptical or an antiskeptical view of reality.

Concluding Philosophical Remarks

This, then, is the essential Advaitic position as I have sketched it and which I think most defensible. It may be characterized as being realist from an idealist point of view, idealist from a realist point of view, and skeptical about both points of view. It is realist because it asserts that the cognitive life can be explained only through the conception of an extrinsic, rather than a cognitively intrinsic, order. It is idealist because it holds that there is no proof that there must be an extrinsic order in whose absence there would be no cognitive life. Instead, it asserts that the existence of a systematic cognitive order can be ascertained only because there are, in general, objects of cognition. Therefore, even if it is logically possible that there is an uncognized order of objects, such an uncognized order will not be the determinant of the validity (or invalidity) of current cognition. If there is a determinant of such validation, it must be a cognized order. Advaita is skeptical of the idealist attempt to deny an extrinsic order. It maintains that the idealist disregards the extent to which cognition can go, namely, beyond the immediate or the particular cognitive instance. This is because the idealist merely presumes that there cannot be an extrinsic order. Advaita is also skeptical of the realist attempt to affirm the realist order. It maintains that the realist disregards the constraint on affirming anything about the extrinsic order, namely, that it is from the structure of the cognitive order that the conception of the extrinsic order is obtained; and that in turn is because the realist just presumes that there is an independent extrinsic order.

NOTES

References cited are listed in the Selected Bibliography, which follows these Notes.

1 – Matilal, *Perception*, p. 22.

2 – Citsukhācārya, *Citsukhī*.

3 – Jayarāśi Bhaṭṭa, *Tattvopaplavasimha*.

4 – *aduṣṭakārakasandohotpādyatva*.

5 – *bādharahitatva*.

6 – Numbering according to Eli Franco, *Perception, Knowledge and Disbelief*.

7 – Vātsyāyayana, *Nyāya-Bhāṣya*.

8 – Harman, *Thought*, pp. 130 ff.

9 – Goldman, "Causal Theory of Knowing," pp. 357–372.

10 – Harman, *Thought*, pp. 130 ff.

11 – Kant, *Critique of Pure Reason*, A 783 (1st ed.), B 811 (2d ed.).

12 – Strawson, *Bounds of Sense*, p. 271.

13 – Walker, *Kant*, pp. 21–22.

14 – Strawson, review of *Transcendental Arguments and Science*, p. 50.

15 – Körner, *Fundamental Questions of Philosophy*, p. 215.

16 – I wish to thank an anonymous referee at *Philosophy East and West* for bringing Körner's writing on the subject to my attention.

17 – In construing transcendental arguments in this way, I have left aside another significant way in which the term 'transcendental argument' can be used: as the application of concepts to a transcendent reality, concepts borrowed from the "immanent" world of "supreme principles governing … belief about the world of intersubjectively interpreted experience," as Stephan Körner puts it, in *Metaphysics: Its Structure and Function* (p. 47). Körner argues that philosophers of different kinds have denied that such a conceptual grasp of reality is possible: by skeptics who deny any rationally justifiable grasp beyond subjective experience, by "antimetaphysical mystics" who hold such an application of concepts to be wholly inadequate, and by "metaphysical mystics" or "aesthetic metaphysicians" who think that conceptual application is at best metaphorical (p. 137).

18 – One further distinction must be mentioned: the one between 'representation' and 'presentation'. The representation of an object is what the subject 'makes' of that object (with the ambiguity about the ontological status of the object untouched). Representation is thus the subject's ordering in cognition of an object. The presentation of an object is the location/orientation of the object itself, such that it is accessible to the cognitive grasp of the subject. Presentation is therefore the ordering of the object such that the subject can cognize it. There can be

representation even when there is no presentation (for it may appear to the subject that there is an object when there is no object there).

19 – Śaṅkara, *Brahmasūtrabhasya*.

20 – Ibid.

21 – More on this later; here I only wish to mention the harmless step I take from the singular to the plural so as to convey the sense of continuity betokened by talk of the two orders.

22 – Before going any further, I must note that the notion of superimposition was a controversial one in the tradition. The issue broadly was this: if there was a general requirement that there be objects for there to be cognition, how was error explained? More precisely, how was the possibility of cognition without its appropriate object (i.e., as in error) reconciled with the general requirement? Allied to this was another matter: a theory of how error occurred would elucidate the relationship between cognition and objects in general; if so, any such theory would lead to its own position on the nature of the cognized order of objects and as such result in a thesis on the metaphysical status of the world with regard to its independence from or dependence on, the order of experience. In Vācaspati, we find a discussion of error and superimposition as, too, of the sort of metaphysical status that consequently must be assigned to the order of objects.

23 – *prasiddho hy ayam bhoktṛ-bhogya-vibhāgo loke bhoktā cetanaḥ śārīro bhogyāḥ śabdādayo viṣayā iti* (Śaṅkara, *Brahmasūtrabhā☐ya* ll.i.13).

24 – Strawson, *Bounds of Sense*, p. 104 passim.

25 – This is not to deny that there may be interesting ways of relating the *svaprakāśā* thesis to the issue of a unified self, building as one could on the formulations Matilal has given regarding the views of the various schools on the issue of self-awareness; see Matilal, *Perception*, chap. 5.

26 – If the object were to be in the content of cognition itself, then the idealist thesis that objects are cognitive constructs would hold.

27 – Using Śaṅkara, *Brahmasūtrabhāṣya* ll.ii.28, pp. 552–553.

28 – *(api ca) ghaṭajñānaḷ paṭajñānaḷ api viśe☐anayor eva ghaṭa-paṭayor bhedo na viśe☐yasya jñānasya yathā suklo gauḥ kṛṣnorgour iti śaukl-yakarṣnyayor eva bhedo na gotvasya, dvābhyāṃ ca bhedaikasya siddho bhavaty ekasmāt ca dvayoḥ, tasmād arthajñānor bhedaḥ. tathā ghaṭadarśanaṃ ghaṭasmaraṇam ity atrāpi pratipatdvayaṃ atrāpi hi viśeṣyor eva darśana-smaraṇayor bhedo na viśeṣanasya gha-ṭasya. yathā kśīragandhaḥ kśīraraseti viśe☐yayor eva gandha-rasayor bhedo na viśeṣanasya kśīrasy etad iti* (Śaṅkara, *Brahmasūtrabhāṣya* ll.ii.28).

29 – By dispositionality I mean the tendency/ability of a subject to persist in taking some entity to be a particular, e.g., the *disposition* on the part of the subject to call that four-legged thing a horse through remembering a prior learning episode. The continuity implied by condition (2) is thus a continuity between a cognitive *episode*, where a four-legged creature is identified as a horse, and the *disposition* to continue to identify such a creature as a horse. In this way, a cognitive element—a 'horse-identifying episode'—becomes part of the cognitive order or, better still, becomes an ability to pick out certain other cognitive instances as having a horse as the identified object.

30 – There is much in the literature on memory, but, as with the issue of self-awareness to which it is closely related, it is beyond the purview of this essay.

31 – Of course, given the range of traditional scriptural issues with which Śaṅkara was concerned, he has plenty of other opponents as well whom he sees fit to criticize in the *Bhāṣya*, but we are not

concerned with them here.

32 – Matilal, *Perception*, p. 151.

33 – *asat-kalpo 'tra kaścittaṃ yatas tena hi kalpyate yathā ca kalpayaty arthaṃ tathātyantaṃ na vidyate (Vasubandhu, Trisvabhāvanirdeśa*, verse 5; see also Kochumuttam, *Buddhist Doctrine of Experience*).

34 – *tatra kiṃ khyāty asatkalpaḥ kathaṃ khyāti dvayātmanā/tasya kā nāstitā tena yā tatrā 'dvayadharmatā* (verse 4).

35 – Descartes, *Philosophical Works*, vol. 1, pp. 145–146.

36 – E.g., Nakhnikian, "Descartes' Dream Argument," p. 268.

37 – Cf. Kenny, *Descartes: A Study*, p. 25.

38 – Ryle, *Dilemmas*, pp. 94–95.

39 – Walker, *Coherence Theory of Truth*, p. 44.

40 – Śaṇkara, *Brahmasūtrabhāṣya* II.ii.11 ff.

41 – Ibid., ll.ii. 28–32.

42 – *satyapi bāhye 'rthe buddhyāroham-antareṇa pramāṇādi-vyavahā-rānavatārāt* (ibid., p. 549).

43 – *nāsau jñānagata-viśeṣamantareṇopapadyate ity avaśyaṃ viṣaya-sārūpyaṃ jñānasyāṅgīkartavyam* (ibid., pp. 549–550).

44 – Ingalls points out in "Śaṃkara's Arguments Against the Buddhists," that this argument is found in the *Pramāṇaviniścaya*, which is preserved only in the Tibetan. It is also partly found in the *Pramāṇavārttika* II.354.

45 – *vinaiva bāhyenārthena grāhya-grāhakākārā bhavanti* (Śaṅkara, *Brahmasūtrabhāṣya*, p. 550).

46 – *evam jāgarita-gocarā api stambhādi-pratyayā bhavitumarhantīty avagamyate* (ibid.).

47 – Verse 2.

48 – Perhaps 'indexation' would be an appropriate translation, as there is a sense of the definition of an event like a cognitive episode on the basis of its being determined by the time and the place in which it occurred.

49 – I say 'subjective order' so as to indicate the Buddhist bundle theory of self, which characterizes 'individuals' as 'streams (*santāna*) of consciousness'.

50 – Verse 3.

51 – *na sarvatra; tatraiva ca deśaḥ kadācid dṛśyate, na sarvakālam iti. siddho vinā 'pyarthena deśa-kāla-niyamaḥ* (*Viṃśatikā*, prose section of verse 3, p. 20).

52 – Verse 4.

53 – Verses 4–5, and prose sections.

54 – *smṛtilopādikā anyeṣām (svapna-darśanañ ca) piśācādi-manovaśāt* (verse 19).

55 – Putnam, *Reason, Truth and History*, chap. 1.

56 – E.g., Nozick, *Philosophical Explanations*, pp. 167 ff.

57 – *sahopalambha-niyamād abhedo nīlataddhiyoḥ /bhedaś ca bhrānti-vijñānair dṛṣyetendāv ivādvaye* (traced to the *Pramāṇaviniścaya* and the *Pramāṇavārttika* by de la Valee Poussin [Museon, 1901]; see Ingalls, "Samkara's Arguments," p. 300 n. 16).

58 – Cf. Dharmakīrti, *Pramāṇavārttika, Pratyakśa pariccheda*, verse 389; and Matilal, *Logic, Language and Reality*, pp. 238, 252–253.

59 – *upalabhyate hi pratipratyayaṃ bāhyo 'rthaḥ* (Śaṅkara, *Brahmasūtrabhāṣya*, pp. 550–551).

60 – *nopalabhyamānasyaivābhāvo bhavitum arhati* (ibid.).

61 – *tadvad indriyasannikarṣeṇa svayam upalabhamāna eva bāhyaṃ arthaṃ nāhaṃ upalabhe na ca so 'sti iti brūvan katham upādeyavacanaḥ syāt* (ibid., p. 551).

62 – *yathā hi kaścid bhuñjāno bhujisādhyāyāṃ tṛptau svayam anubhūyamānāyām evaṃ brūyān nāhaṃ bhuñje na vā tṛpyāmīti* (ibid.).

63 – See part 6 above.

64 – *ataś caivam eva sarve laukikā upalabhante yatpratyācakśāṇā api bāhyārtham eva vyācakśate "yad antarjñeyarūpaṃ tad bahirvadavābhāsata" iti* (Śaṅkara, *Brahmasūtrabhāṣya*, p. 551).

65 – Dinnāga, *Ālambanaparīkṣā*, in Tola and Dragonetti, "Dinnāga's Ālambanaparikṣā-vṛtti," pp. 126–127.

66 – *tasmād yathānubhavaṃ tattvam abhyupagacchadbhir bahirevāvabhāsata ity uktam abhyupagantuṃ na tu bahir vad avabhāsata iti* (Śaṅkara, *Brahmasūtrabhāṣya*, p. 551).

67 – Śaṅkara, *Brahmasūtrabhāṣya* II.ii.29.

68 – Ibid., III.ii.3.

69 – *tatraivaṃ sati na śakyate vaktuṃ mithyā jāgaritopalabdhir upalabdhitvāt svapnopalabdhivad iti ubhayor antaram svayam anubhavatā. na ca svānubhavāpalāpaḥ prājñamānibhiryuktaḥ kartum* (ibid., II.ii.29, p. 556).

70 – *api cānubhavavirodhaprasaṅgāt jāgarita-pratyayānāṃ svato nirālambatam vaktum aśaknuvatā svapnapratyaya-sādharmyād vaktumiṣyate* (ibid.).

71 – *na hi (ca?) yo yasya svato dharmo na sambhavati so 'nyasya sādharmyāt tasya sambhaviṣyati* (ibid.).

72 – *abhūta-parikalpito 'sti* (I.2); cf. *Trisvabhāvanirdeśa*, verse 2: *yatha khyati sa kalpitah* (that which appears [is presented/perceived] is imagined).

73 – *pramāṇa-pravṛttyāpravṛttipūrvakau saṃbhavāsaṃbhavāvadhāryete na punaḥ saṃbhavāsaṃbhava-pūrvike pramāṇa-pravṛttyāpravṛttī* (Śaṅkara, *Brahmasūtrabhāṣya*, pp. 551–552).

74 – *yaddhi pratyakśādīnām anyatamenāpi pramāṇenopalabhyate tat saṃbhavati, yat tu na kenacid api pramānenopalabhyate tan na saṃbhavati* (ibid.).

75 – *sarvaireva pramāṇaiḥ bāhyo 'rtha upalabhyamānaḥ* (ibid., p. 552).

76 – *asati viṣaye viṣayasārūpyānupapatteḥ* (ibid.).

77 – *bahir upalabdheś ca viṣayasya* (ibid.).

78 – *ata eva sahopalambhaniyamo 'pi pratyayaviṣayayor upāyopeyabhāvahetuko nābhedahetuka ity abhyupagantavyam* (ibid.).

79 – Ingalls, "Śaṃkara's Arguments."

80 – Ibid., p. 302.

81 – In his own work, also called the *Brahmasūtrabhāṣya*.

82 – *na ca pratyakśābhāsābhiprāyaḥ tat kāle bhavati* (Śaṅkara, *Brahmasūtrabhāṣya* II.i. 14, p. 467).

83 – *suptasya prākṛtasya janasya svapne ucchāvacān bhāvān paśyato niścitam eva pratyakśābhimataṃ vijñānaṃ bhavati prāk prabodhāt* (ibid.).

84 – *svapna-darśanavasthasya ca sarpadaṃśanodakasnānādi-kārya-darśanāt. tatkāryam-api anrtam eveti ced brūyāt, atra brūmaḥ: yadyapi svapna-darśanāvasthasya sarpadaṃśanodakasnānādi-kāryaṃ anṛtaṃ tathāpi tadavagatiḥ satyam eva phalaṃ; pratibuddhasyāpyabādhyamānatvāt. nahi svapnādutthitaḥ svapnadṛṣṭaṃ sarpadaṃśanodakasnānādi-kāryaṃ mithyeti manyamānas tad-avagatim api mithyeti manyate kaścid* (ibid., II.i.14, p. 568).

85 – *nahi ayaṃ sarva-pramāṇa-siddho lokavyavahāro 'nyat tattvamanadhigamya śakyate 'pahnotum apavādābhāva utsarga-prasiddheḥ* (ibid., II.ii.31, p. 558).

86 – Cf. Körner, *Fundamental Questions of Philosophy*, p. 219: "It is possible that man will one day apprehend the world in a manner which is as different from what we call 'thinking' as is our thinking when compared with the manner in which, say, an earthworm apprehends his environment. I have no conception of what such super-thinking might be. But what is inconceivable to me may nevertheless be possible."

87 – Kant, *Critique of Pure Reason* (1933), A 104.

88 – Ibid., A 371.

89 – Strawson, *Bounds of Sense*, p. 91.

90 – Ibid.

91 – Walker, "Empirical Realism," p. 174.

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DREAMS AND THE COHERENCE OF EXPERIENCE: AN ANTI-IDEALIST CRITIQUE FROM CLASSICAL INDIAN PHILOSOPHY

C. Ram-Prasad

I. INTRODUCTION

THE traditional realist claim is that objects that experience presents as existing externally, do in fact exist internally. The denial of externality appeals both to those who doubt that experience is ever veridical (in other words, who doubt that the objects experience presents are ever exactly identical with existing objects) and also to those who think that experience is veridical only if objects are not external.

Dreams hold an irresistible appeal for philosophers who wish to deny externality. Minimally, objects appear in dreams as occupying physical space. In other words, objects appear as distinct from the cognition of them. In particular, they do not appear as if they were in the subject's cognition alone, since to dream of an object is to dream of an object located in space. Both the Cartesian skeptic and the Berkeleyan idealist use dreams to challenge externality: a subject takes it that there is experience of a world of external objects, but there need be no such world as seems to be thus experienced. Cognition that there are external objects could therefore occur without such objects. But they draw two very different morals from this.

The Cartesian skeptic concludes that there is a doubt as to whether any cognition of external objects is veridical or not. The Berkeleyan idealist, in contrast, concludes that veridical cognition can occur without external objects. So the Cartesian skeptic presumes that verdical cognition requires that there is an external world to be grasped. Since dreams cast doubt on

whether there is such externality, they cast doubt upon the veridicality of cognition.

The idealist likewise accepts the doubt that dreams cast upon externality, but does not accept the implication of the non-veridicality of cognition. He therefore faces a different problem: that of providing a non-external guarantee of the veridicality of cognition. This disagreement about the consequence of denying externality was recognized by Kant. He distinguished, in characteristically idiosyncratic terminology, between Cartesian "problematic idealism" and Berkeleyan "dogmatic idealism."

Of course, there is much more to "dogmatic" idealism, even of the Berkleian sort, than the denial of externality. There is also the denial of material substance, the dependence of existence on God as Infinite Spirit, and especially the denial of mind-independent existence. However, this paper discusses only the idealist use of dreams as a denial of externality and the anti-idealist responses that can be made to it. The idealist doctrine I discuss is Vijñināvāda, as endorsed by the Buddhist Vasubandhu (4th–5th century), rather than Berkelyean idealism, although Berkeley's characterization of external space as "that phantom"[1] sits rather well with Vijñānavāda. And the anti-idealist response I discuss occurs in the Advaitin Śankara's works (from the 8th century), primarily, the *Brahmasūtrabhāṣya and the Bṛ had āraṇ yakabh āṣya*.

Vasubandhu is an idealist in a sense given by his own characterization of the Vijñānavāda position: "that which is distinguished does not exist thus; all is therefore mere representations in consciousness" (*yad vikalpyate tena tan-nāsti tena-idaṃ sarvaṃ vijñapti-mātrakaṃ*).[2] Experience presents us with a distinction between consciousness itself and the objects of which we are conscious. But such objects do not exist as thus experienced; they are mere appearances. As one of Vasubandhu's commentators puts it: "mere appearance is that in which the object, as it is conceived in cognition, is absent."[3] Vasubandhu uses dreaming to claim that an account of experience does not need this cognition-object distinction. He claims that such an account is independent of the notion of objects being external to cognition.

A point of clarification: I have called Vasubandhu an idealist only for the reason that he denies that experience requires any conception of external objects. In that sense, I have taken up only the first half of his thesis: that there are no objects as there seem to be in experience. This is because my paper is strictly limited to the question of providing an account of

experience. But there is indeed the second half of the thesis: Vasubandhu says of the consciousness of objects, "its object is not there, and that object being absent, it too is not there." This is more than a mere idealism about external objects. Clearly, this is not just not realism, it is not idealism either. Not only are objects denied but, ultimately, the consciousness of them as well. When both are denied, there is the powerful mystical concept of that "emptiness which is the basis of purity" (*śūnyatā hi viśuddhi — ālambana*). But I have consciously avoided making this an examination of rival soteriological doctrines. As a result, I have entirely avoided as well the issue of whether ultimately Vasubandhu need be thought of as an idealist. I accept the anticipated criticism that in some profound sense he is not an idealist. All I want to say is that he is an idealist in the limited sense in which I have described him. And it is this idealism that I take to be the object of refutation in these pages.

I have previously dealt in detail with Śaṅkara's general anti-idealist arguments in the *Brahmasūtrabhāsya*.[4] This paper analyses and reconstructs that particular section of that text which specifically targets the idealist use of dreams.

Śaṅkara's refutation of Vasubandhu is terse. Yet not only is it penetrating, it also illustrates the tenability of this type of a refutation.[5] This paper has roughly two stages to it. The first stage, in section II, concerns Vasubandhu's claim that dreams show that there can be experience even when external objects are specifically ruled out. Śaṅkara argues that dreams cannot be understood except on the assumption of the very notion of externality which Vasubandhu wishes to deny. The second stage, covering sections III and IV, deals with the issue of externality in general. There I shall argue that the disagreement between the two schools is over the role of the conception of externality in any account of experience. They are agreed that there can be no proof of externality. The Advaitin wishes to say that an assumption that there is an external world, i.e., the *conception* of externality, is needed for any account of experience. The Vijñānavāda, on the other hand, argues that there can be no distinction between consciousness and its object, and that therefore the very conception of externality is illusory and must be rejected before any coherent account of experience can be attempted. I shall examine and attempt to defend what I take to be the Advaitin's refutation the Vijñānavāda's thesis. In the final

section, I shall take a look at the consequences of idealism about external objects for the Vijñānavāda's philosophy.

II. ŚAṄKARA'S CRITIQUE OF VASUBANDHU'S USE OF DREAMS

Vasubandhu uses dreams to refute a version of realism that proceeds in terms of an atomistic account of external objects. This atomistic account holds that experience (especially perceptual experience) is caused by entities constituted by atoms. Ultimately therefore, atoms cause perception of those very objects that they (the atoms) constitute. Vasubandhu argues[6] that atoms could explain the perceptual experience of putative objects (constituted by those atoms) in only one of three ways, none of which is tenable:

   (i)   They act atomistically as a set of discrete atoms so as to cause perception as of parts.

   (ii) They act non-atomistically as a whole so as to cause perception as of a single whole entity.

   (iii) They act non-atomistically as single aggregation of atoms so as to cause perception as of an aggregate.

(i) is quickly eliminated because experience is not as if of a swarm of atoms but is as if of objects.

Vasubandhu's argument against the possibility of (ii) is this:[7] On the atomistic picture, to say that atoms constitute an object is to say that the various qualities of an object are made up of quality-atoms. For example, the blueness of a blue object is constituted by blue-qualia atoms. On the atomist's account, then, the cognition, "this is blue" must be caused by blueness-atoms forming a "color-whole." But of course, this is not how experience occurs; the color is not experienced as different from the parts of the object experienced. We do not perceive the blueness of a table independently of perceiving parts of a blue table or blue parts of the table. So, the atomistic picture cannot accommodate the perception of wholes.

There remains (iii), namely, the possibility that experience is perception of an aggregate of atoms. Vasubandhu now switches from arguments about

the commonsense nature of experience to the argument that (iii) can be true only if the atomistic view is incoherent. The argument is this *reductio*: if atoms are to come together to constitute an object, they must come in contact with one another, in which case the contact must be either partial or whole. They cannot be in contact wholly because whole contact is nothing but identity, and if there is identity in the occupancy of two atoms, that would only be to say they are the same atom, in which case there would be no such growth in dimension as is required to go from atomicity to whole objects. So dimension requires partial contact, i.e., contact of parts of atoms, such that parts not in contact can create size. But this would be to go against the primary definition of atoms as partless wholes. (And they need to be so defined because so long as they have parts, they can be divided; and if they can be divided they cannot be the ultimate constituent entities that they are required to be.) So the atomistic hypothesis, that an object is an aggregate of atoms, is itself unintelligible.

Vasubandhu concludes that cognitions such as color-perceptions cannot be explained in terms of objects whose qualities (such as color) are constituted atomistically. His alternative to explaining cognitions in terms of atomistically constituted objects is that in general, cognition occurs without objects at all (*vinā api arthena-iti prūvam-eva jñāpitaṃ*). Dreams are then used as a reason for accepting this general claim.

Here Vasubandhu's strategy departs interestingly from Berkeley's. Vasubandhu uses dreams for the express purpose of denying externalism. By contrast, although Berkeley mentions the non-externalist consequences of dreams,[8] he does not build an idealist argument around them, preferring merely to take them as the perfect metaphor for non-external experience in which ordinary perception of things is "a kind of waking dream."[9] In this respect, Vasubandhu's strategy is more Cartesian than Berkelyean, although (as noted in the last section) the difference between Vasubandhu and Descartes is that for Vasubandhu, dreaming is a reason for an idealist conclusion, rather than part of a skeptical method of systematic doubt.

Exactly how do dreams provide the grounds for idealism? In the *Vijñaptimātratāsiddhiḥ* ("The Doctrine of Consciousness-alone"),[10] Vasubandhu points out that in dreams experience can be internally systematic and can thus systematically represent objects even if the objects represented don't have an external existence. Dreams therefore demonstrate

the dispensability of objects in the analysis of cognition: externality is refuted.

Vasubandhu anticipates an objection to this conclusion. The objection, in the mouth of an imaginary opponent, is that experience displays the following three features: (i) spatiotemporal regularities, (ii) causal regularities, and (iii) inter-subjective consistency. This last refers to our impression that, in specified spatiotemporal locations, others appear to experience the same objects (given a suitably complex understanding of sameness) that we do. But, continues the objection, if dreaming and waking experience both lacked externality, but had these three features in common, then they would be indistinguishable. Consequently, spatiotemporal, casual, and intersubjective regularities would extend from one to the other indiscriminately: a dream-apple could be eaten with satisfaction when I woke up. Since this is false, there'must be a difference between dreaming and waking that guarantees that these three features hold only for waking experience. That difference can be only externality.

This objection fails. It argues that dreaming and waking experience can be distinguished only by the criterion of externality. But that is not a problem for Vasubandhu. Although he admits that (i) to (iii) are incontestable features of experience, he points out that these features can occur *within* dreams (without externality) perfectly consistently: my dream-eating of the dream-apple can dreamingly satisfy my dream-hunger. So since the three features can be accounted for in dreaming, without appeal to externality, then externality is not needed to account for those features per se, and hence is not needed to account for them in waking experience either. This response, of course, requires Vasubandhu to distinguish between waking and dreaming through criteria other than externality, because otherwise he would have to say a dream apple could satisfy a waking rather than a dream hunger, and this is a consequence he plainly wants to avoid. It seems obvious that Vasubandhu can meet this requirement. He could cite other criteria, such as clarity or long periods of consistency, which distinguish between dreaming and waking experiences. Admittedly, Vasubandhu himself fails to see the need to do so. Nonetheless, nothing in Vasubandhu's position commits him to give up the distinction between dreaming and waking. Assuming that he can base the distinction on criteria other than externality, the first objection indeed fails.

This clears the way for Śaṅkara's critique. The crux of the critique is not that the features of experience require externality. Rather, the problem is that externality is itself a feature of experience. Unlike Vasubandhu's imaginary opponent, Śaṅkara quite rightly acknowledges that the idealist can distinguish between dreaming and waking, but claims that the consequence of that distinction is problematic: "It cannot be asserted by a man who comprehends the difference between the two [sorts of experiences] that the apprehension of waking experience is false [as to its externality] just because it is an apprehension resembling that in a dream."[11]

The force of this objection is best appreciated by first restating the idealist argument from dreams semi-formally:

> (P1)   Dreams occur without external objects.

So (C)   Dreaming experience requires no externality.

So (C′)   Experience can therefore occur without externality.

So (C″)   Waking experience can occur without externality.

Śaṅkara argues against this:[12] "One who cannot establish the absence of objectual support [i.e., external objects] (which is the characteristic) of waking experiences should not try to establish such an absence of support on the basis of (their) similarity to dreaming experiences."

Śaṅkara's point is that, even if Vasubandhu can distinguish between waking and dreaming without reference to externality or objectual support (as he clearly can), he cannot go on coherently to deny externality as a criterion of waking experience altogether. In other words, the inference from (C′) to (C″) is invalid. For Vasubandhu's denial that waking experience needs externality is grounded by the claim that dreaming lacks externality. But Vasubandhu acquires the *concept* of externality from waking experience, in order to then deny that externality is a requirement of coherent experience. Śaṅkara objects that this move commits the fallacy of the ineffective major term (*sādhyavikala*):[13] "If a characteristic is not itself (proven to be) constitutive of the identity of an entity, it cannot be adduced as being possessed by that entity on account of that entity's similarity to another entity which does possess that characteristic."

The major term is the predicate of the subject in the proposition to be proved in the Indian inferential process. Therefore it denotes the

characteristic of the entity whose existence or nature is to be established. Śaṅkara's objection can be better appreciated as the point that the idealist is committed to the following argument:

(P) Waking experience (*W*) features the various qualities (*A*) of objects and their appearance of externality (*B*) (undeniable nature of experience). I.e., *W(A,B)*

(P2) Dreaming experience (*D*) features the various qualities (*A*) of objects and their appearance of externality (*B*) (which is why dreams resemble waking experience). I.e., *D(A,B)*

(P3) But dreaming (*D*) experience features the various qualities (*A*) of objects and their appearance of externality (*B*), but there is no actual externality (~*C*) (admitted by all). I.e., *D(A,B,~C)*

(P4) There is experience of the various qualities including externality without there being actual externality in dreams. I.e., *D(A,B,~C)*

(C) Therefore, there can be experience of qualities including externality without there being actual externality in waking. I.e., *W(A,B,~C)*.

This is of the form:

(P1) Wherever there is *W*, there is *A,B*;

(P2) Wherever there is *D*, there is *A,B*;

(P3) But wherever there is *D*, there is *A, B*, and ~*C*;

(P4) There is *A,B* and ~*C*, in *D*;

(C) Therefore, there can be *A, B*, as in *W*, and -*C*.

Since this argument-form is valid, any attack on the idealist's argument must focus on the epistemic role of the aquisition of the concept of externality, which that argument requires. This anti-idealist attack first establishes the *general* point that since *C*-ness has not been shown to be part of the identity of *D*, it is epistemically unjustifiable to conclude that C-ness is not a characteristic of *D*, merely on the ground of *D*'s similarity to *W*, which is non-*C*. The conclusion is unjustifiable because it makes it impossible to acquire the concept of *C*-ness. This point is established by invoking the parallel between it and the following argument:

(*P1*) Wherever there is a cow, there are four legs and two ears.

(*P2*) Wherever there is a horse, there are four legs and two ears.

(*P3*) But wherever there is a horse, there are four legs, two ears and no horns.

(*P4*) Four legs and two ears can be found wherever there are no horns, as in a horse.

(*C*)　Therefore, there can be four legs and two ears, as in a cow with no horns.

At this point it is important to note that both the idealist and his opponent assume both that the argument is not about counterfactual hornless cows. More importantly, both further assume that the universe is exclusively divided into horses and cows. This admittedly artificial assumption is justified, because it is needed to preserve the parallel with the original argument from dreams. In that argument, we are indeed justified in assuming that the universe of experience is exclusively divided into waking and dreaming.

The Śaṅkaritegeneral objection is now establised by example. It becomes the specific objection that since hornhood has not been shown to be part of the identity of a cow, it is epistemically unjustifiable to conclude that hornhood is not a characteristic of cows merely on the ground of their similarity to horses, which are not horned. The conclusion is unjustifiable because it makes it impossible to acquire the concept of hornhood. If one has encountered only horses, then one could not deny that cows have horns, because one needs prior encounters with cows in order to acquire the concept of hornhood. In other words, one's experience of non-horned horses can support a coherent denial that cows have horns only if one has the concept of hornhood. But one could have it only by experiencing horned cows, so the denial is coherent only if it is false.

Now that the Śaṅkarite general objection is established, it can be used against the argument from dreams. Since the idealist has yet to prove that the cognition of externality (its appearance) in waking is unsupported by external objects, he cannot derive the non-externality of objects in waking from the non-externality of objects in dreams, from the mere fact that dreams and waking have *other* features in common (like causal regularities). Moreover, the fact that the cognition of dreams is consistent

with their non-externality does not entail that waking experience can be explained without reference to the concept of external objects. Waking experience is required for the concept of externality, before externality can coherently be denied of dreams. It is thus incoherent to deny the externality of that (waking) experience from which the very concept of externality was first derived.

This objection effectively disposes of all idealist arguments denying externality *on the basis of dreaming experience*, such as the following argument in Berkeley:

Philonous: Do you not in a dream to perceive like objects?

Hylas: I do.

Philonous: And have they not then the same appearance of being distant? [or "outness," both of which are terms Berkeley uses to signify externality].

Hylas: They have.

Philonous: But you do not thence conclude that apparitions in a dream to be without the mind?

Hylas: By no means.

Philonous: You ought not therefore to conclude that sensible objects are without the mind, from their appearance or manner wherein they are perceived [i.e., as though they were outside, or external to the mind].[14]

The Śaṅkarite objection to this now becomes that the coherence of the very debate requires the clear understanding that dreams do not require external objects, but this understanding requires a grasp of the concept of external objects, as in waking experience. But Philonous goes on to deny that experience gives us any cause to think that objects are external, precisely on the basis of the presupposed non-externality of dreaming objects. The strategy of Śaṅkara's objection resembles that of the objection against Berkeley's argument from to the physiology of the eye to te denial of externality: his reasoning concerning space presupposes the existence of the very space he intends to deny.[15]

Vasubandhu might try to disarm the ankarite objection by reformulating his argument from dreams as a reductio, since then the fact that its

conclusion contradicts its supposition is entirely welcome. But the argument cannot be a reductio. If it were, it would have to be of the form:

(i)   It is the case that *p*;

(ii) If *p* then *q*;

(iii) If *q* then *r*;

(iv) But if *r* then *not-p*;

(v)   Therefore *not-p*.

Any such reductio succeeeds only if the conditional in both ii) and iii) is of the form "it must then be." But neither premise can be of this form in Vasubandhu's argument from dreams. That reformulated argument begins:

(*P1*) It is the case that experience occurs with (or "has") externality.

(*P2*) If experience has externality then it has other regularities.

Leaving *P3* aside for the moment, it continues:

(*P4*) But if there is dreaming experience, there is no externality.

(*C*)   Therefore it is not the case that experience occurs with externality.

Clearly, the argument can work only if *P3* is taken as

(*P3′*) If regularities occur it *could* then be dreaming experience

which is clearly a different claim from that required, namely:

(*P*) If regularities occur, it *must* then be dreaming experience.

Whatever the hardness of the "must," on no consistent construal would it be softer than the "could." So given *P3′* the conclusion has to be modified to something like

(*C′*) Therefore it might, or need, not be the case that experience occurs with externality.

But given that modification, the resulting argument is not a reductio at all.

III. ŚAṄKARA AND THE CONCEPT OF EXTERNALITY

Although the Śaṅkarite position is antiidealist, it is not realist in the sense of proving that the objects of experience are independent of such experience. So the idealist can protest that Śaṅkara establishes merely that waking experience is needed to have the concept of externality, on the ground that the externality of objects is a feature of waking experience. But the idealist could argue that the availability of the concept of externality is consistent with the fact of non-externality, even if it is not consistent with the coherent assertion of that fact. So all that the idealist needs is an account of experience that is consistent with the absence of externality. The price of giving such an account is abandoning the analogy of dreams, one well worth paying.

This new line of thought does not worry the Advaitin and his anti-idealist argument. It does not worry the Advaitin because he aims to show that accounting for experience requires the *assumption* of externality. This does not commit him to *establishing* the externality of objects, a task which he thinks is impossible. An anti-idealist about the denial of externality, he is equally an anti-realist about its assertion. For him, the issue is not the ontological status of objects but the concept of externality, seen as, and given by, the distinction between cognition and its object: "Since you admit dreaming experience to occur, you must admit that its content, the objects of dreaming, are distinct from awareness, whether you wish to term them "real" or unreal."[16]

The disagreement between the Advaitin and the Vijñānavāda could be misunderstood here, and consequently misrepresented. At first sight, the Advaitic argument against the Buddhist use of dreams looks like the claim that externality is required for experience, a claim that is clearly not established: there has been no demonstration that a world of objects, proven to be external to cognition, is required for experience. The grounding of *that* claim is not a matter of disagreement between the Advaitin and the Vijñānavāda. Both deny that there is a proof of an external world, though seeing this requires close attention to Śaṅkara's argument.

Having recognized this agreement, what can the Advaitin hope to achieve with his claim that externality is given in experience? What is the sting in the claim that the *assumption* of externality alone is needed, if the idealist can establish non-externality by means other than the analogy of dreaming? Indeed, the idealist can claim to have established the dispensability of

externality in his account of experience in just this way. All that needs to be done is to take Vasubandhu's argument that regularities and intersubjective constancy need no externality and drop the discredited attempt to do this via dreams. Indeed, any account of experience that dispenses with externality is good enough for this purpose. Vasubandhu's own phenomenalist work, the *Abhidarmakośa*,[17] for example, reduces objects of experience to the qualia of the appropriate senses. Alternatively, a modern defender of Vasubandhu could endorse Berkeley's elaborate demonstration in *An Essay Towards a New Theory of Vision*[18], that there can be perception of distances or outness (i.e., externality) even when the idealist ontology includes no such objects, but only ideas of the mind (even if the "Mind" is of a god).

The crucial point of disagreement then, between the Advaitin and the Vijñānavāda, is not that the Advaitin claims that

(i)   The proof of externality is required by any account of experience

but rather that he claims that

(i)   (ii) Some *assumption* or *concept* of externality is required by any account of experience.

(i) ontolologically commits its proponent either to (1) the realist position that there is a world of objects external to cognition (proof of whose existence would alone render any account of experience coherent) or to (2) a skepticism about realism, holding that no coherent account of experience is possible (because no proof of an external world is possible). Admittedly, many Advaitins have defended (1) elsewhere, but (as I have previously argued[19]) Śaṅkara himself eschews this position.

The idealist agrees with the Advaitin in rejecting the possibility of any proof of externality. Nor do they disagree in the sense that they provide *competing versions of the concept of externality*. It would therefore be misleading to situate the idealist's position on the experience of externality, in a broadly anti-realist framework. Rather, while the Advaitin claims (ii), the Vijñānavāda denies this, *on the ground that the very **idea** of externality is illusory and therefore should play no role in any account of experience*.

Vasubandhu's commitment to this ground is clear. His crucial claim about the nature of experience is that it involves the imagination of that which is not the case (in other words, the conception of the nonexistent (*abhūtaparikalpa*)). What *is* it that is not the case (or, what is it that is

unreal)? It is the distinction between that which is grasped and the grasper (*grāhya-grāhaka-vikalpaḥ*), i.e., consciousness and its object. Vasubandhu rejects the reality of this distinction because it entails that the conception of the grasped is different from, *or external to*, the grasper. Clearly Vasubandhu cannot afford to accept *that* distinction between grasper and grasped. Given his position, this is not merely the claim that no externality can be proved; it is the stronger claim that externality can be proved to be unreal or illusory: "determination of space, etc. is obtained just as in a dream" (*deśa-ādi-niyamaḥ siddhaḥ svapnavat*);[20] i.e., externality (spatiality) is illusory. So whether or not his argument from dreaming is tenable, Vasubandhu's point about space is clear: it is illusory. There is no space in which objects exist, because there is no distinction between objects and the cognition of them. So Vasubandhu is not calling for an account of experience in which externality (i.e., spatial distinction between object and cognition) can be translated into some non-realist framework. He is asking for the rejection of the role of spatial distinction on any account.

Vasubandhu starts the *Vimśatika* by telling us: "There is merely representation in cognition because there is merely the appearance of non-existent objects" (*vijñapti-mātrametad-asadartha-avabhāsant*). This is an affirmation that there is no externality. Now if it is *affirmed* that there is no externality, then it would not be consistent to *assume* that there is. One can claim *merely to assume* externality only when one lacks proof of either its existence or its non-existence. Vasubandhu's point is that externality is illusory and so should be rejected. Vasubandhu does not want to assimilate the experience of externality into a theory of coherent experience; he rejects any account whatsoever which would allow for that cognition- object distinction that constitutes the concept of externality. "Whatever matter is liable to be distinguished by some sort of [cognition-object] discrimination is just imaginary as to its nature, [for] it does not exist thus" (*yena yena vikalpena yad yad vastu vikalpyate/ parikalpita-eva asau svabhāvo na sa vidyate*).[21]

On the other hand, to assume externality one should at least not affirm that it is illusory. If it is already affirmed, as a consequence of the idealist argument, that externality is illusory, it would be contradictory to thereafter assume its reality. One must at least grant that experience does in some way ground such a distinction (though, as a non-realist, an Advaitin could and does later go on to say that that distinction cannot actually be proven.) This

is what we find Sankara saying at the very beginning of his work: the natural experience of the world (*naisargiko 'yam lokavyavahāraḥ*) evidently seems of the form of a subject being the recipient of presentation (*asmat-pratyaya gocare viṣayinī*) that are distinct from non-subjective presented objects (*yusmad-pratyaya gocare viṣayaḥ*). For him, therefore, experience is explicable only when the appearance of the cognition-object distinction is assumed. I have argued elsewhere that he does give an account, albeit a brief one, of how the assumption of externality can work within a general account of experience; an account, I claim, that has some resonance with Kant's.[22]

What is relevant, however, is that Vasubandhu not only does not want to account for externality in some non-realist way, he specifically claims that externality is illusory. If externality is affirmed as illusory, obviously it would not do to *then assume* that it exists, for it would be contradictory to do so. So a coherent account of experience must perforce reject any role for externality, assumed or real (objects…are distinct from awareness, *whether you wish to term them "real"or "unreal"*[23]). Consequently, Śaṅkara's attempt is not to show that Vasubandhu is wrong in rejecting proof of externality, for Śaṅkara himself accepts that rejection. To say that ankara's argument does not prove that externality exists would be to miss the point. His attempt, rather, is to show that Vasubandhu is wrong to reject the role of an *assumed* externality in any account of experience. So the argument is over whether it is correct to reject the very assumption of externality in a coherent account of experience.

IV. THE GENERAL ARGUMENT AGAINST IDEALISM

This is where we find Śaṅkara's argument telling, over and above his point against dreaming. Śaṅkara mentions Diṅnāga's view on the matter. Diṅnāga, like Vasubandhu before him, is attempting to explain the "manifold of experience" (*pratyayavaicitryam*) without reference to the concept of externality; the general idealist claim is that there is no perceptual grasp of anything distinct from that grasp itself.[24] Diṅnāga

maintains:[25] "That which has only an intrinsic, cognitive form appears as though it were external." The significance of this claim lies in the fact that it is supposed to contribute to a coherent account of experience. The idealist thesis is supposed to articulate the claim that experience can be accounted for without the assumption of externality. Śaṅkara, however, points out that the thesis cannot articulate the claim that experience can be accounted for without reference to the *concept* of externality.

He points out that "there is experience [or awareness — *upalabdhi*] and *a fortiori*, [the] distinction [of something] from experience must be admitted. Nobody experiences a [perceptual] experience of a pillar, a wall, etc.; rather people have experience of objects of experience as [being] a pillar, a wall, etc.[26]

The very nature of the experience of a pillar is of it *as* an external pillar (a pillar as an object of cognition). What exactly is the case Śaṅkara is making? After all, the idealist does not deny that there is the perception of externality. If this is so, what is to be gained from belaboring the point that experience does represent externality? The terse answer is this: Śaṅkara is saying that there can be no way in which an idealist can claim that experience is coherent on his account. The idealist's account, remember, is one in which the very notion of externality is denied any explanatory role. Indeed such externality is specifically taken to be illusory.

Experience of a world is coherent in an account of what is experienced, only when that account allows for cognitions — individual experiences of objects — to meet the requirements of the *pramāṇas*.[27] Briefly, this is what is meant: the *pramāṇas* are the various instruments by which knowledge is gained: perception and reasoning (to be more specific, inferential reasoning) being the commonly accepted ones. They are the modes of cognition (or ways through which the subject-object relationship of experience is established), and a cognitive episode or experiential event is knowledge-instantiating (is a *pramā*) if it does not deviate from the requirement for a true cognition. Non-deviation consists in sequences of cognitions (experience) being invariably correlated with the object of cognition.[28] One may say that cognition is knowledge-instantiating when the subject "tracks" that of which there is cognition. I use the familiar term "tracking" to describe the awareness of that invariable correlation between object and cognition that the Indians called "non-deviating" cognition. That

is to say, if the subject's cognitions of a specified object vary concomitantly with the varying location and qualities of the object, then the subject is able to make a true knowledge-claim; the subject has fulfilled the requirement that her cognitive states be sensitive to the state of the object in question. The nature and specification of the invariable concomitance or correlation will vary depending on the instrument or mode in question.[29]

The tests for non-deviation, i.e., the criteria for determining when exactly "tracking" has occurred successfully, are often the same for most schools (though some may vary from school to school). I do not wish to go into that issue here. I will simply say that the criteria used by the Buddhist schools are not always acceptable to the brahmanical schools (though all are agreed that the invariable concomitance must be established). In this paper, I will assume the legitimacy of various criterial sets (especially that of the Buddhist Vijñānavāda in question). The *pramāṇa* theory then specifies various modes of cognition and the requirement (with possible multiple criteria) for a cognition to be knowledge-instantiating. The theory therefore provides for a system by which cognitions can be determined to be veridical or erroneous. I therefore call the *pramāṇa* theory as a whole a system of validation, the validation of knowledge-claims.

Let us take validation to be the systematic distinction between true and false claims. Now, we can say that experience is coherent only if it is possible to apply the system of validation to cognitions and determine their status as veridical or erroneous. If it is impossible to test whether cognitions track their objects, then experience must be thought to be incoherent. To put this in another way, if the instruments of cognitions provide no general tracking except in specific cases of error, then experience must be thought to be incoherent. It follows that my *particular* account of cognition (i.e., one propounding a particular ontological position on what is experienced) in which the veracity of cognitions cannot be established must be seen as one committed to portraying experience as incoherent.

We may put the matter generally this way. Take any ontologically neutral statement of an experiential event (A) and an ontologically interpreted statement on what that event consists in (A'). Then, only if A' is true by the standards of the *pramāṇa* system would A be true. That is to say, only if the particular ontological position on the nature of experience (a sequence of cognitions) meets (through favored criteria) the requirement of the system of validation, can A be true. Conversely, if A') is determined to be false,

then *A* is false. The point is that any particular such *A'*) must be testable by the standards of the system of validation, so as to generate the truth-evaluated conclusion about the corresponding, neutral statement *A*. Since *A*) is neutral in the sense that it is faithful to the common features of experience, if its truth or falsehood is just the truth or falsehood of the corresponding ontologically interpreted statement *A'*, we can say that that ontological interpretation "saves the appearance" that *A* captures. In other words, if *A'*'s being true or false varies just according to the *pramna*-bound evaluation of the particular ontological account given in *A'*, then *A'* allows for systematic distinction between veracity and error, and therefore presents experience as coherent. All schools wishing to claim that experience is indeed coherent, and thus not systematically illusory, must be able therefore to provide for A's truth-evaluation solely in terms of the *pramāṇa*-bound evaluation of their particular account given in *A'*).

   Given this condition of the coherence of experience, let us look at a particular experiential state, that of a white, carved stone pillar. Suppose this results in the ontologically neutral statement,

   (*A*) There is a white, carved stone pillar.

This statement is ontologically neutral in that (i) it would be acceptable to all schools that accept that experience is coherent, whatever their ontology; and (ii) more importantly, it is the one acceptable to "all people" in "ordinary" experience, i.e., in a pre-theoretical way. The statement's truth-value must be preserved in any account of the relevant experience (or, strictly, experiential state); this is only to apply the requirement of *pramāṇa*-evaluation to test whether an account of experience can present that experience as coherent. Now, the idealist would analyze the experience thus:

   (*A'*) There is a cognitive construct/representation that there is a white, carved stone pillar.

To test whether the neutral statement *A* is true, the idealist would have to apply (his selected) criteria of the *pramāṇas* on the relevant idealist analysis of experience *A'*). These criteria for determining non-deviation are tenable: successful action consequent on judging that *A* (which is really a pragmatic test of causal consistency), inter-subjective consistency, continuity in cognitive representation, and so on. Let us, in any case, allow the idealist

the ability to perform truth-tests of these types on cognitive constructs. Suppose then that the tests are successful and it is concluded that there is an experience that there is a white, carved stone pillar that satisfies the criteria. Then, the subject has knowledge that there is such a pillar. If so, we may hold that the statement *A* "There is a white, carved stone pillar" is true. What has happened is that the idealist account seems to have satisfied our coherence requirement. The idealist analysis of experience is in terms of cognitive construction. The analysis given accounts for how a statement on experience can be true, and seems to do so via the use of the *pramāṇas* on experience (where experience is interpreted as being of cognitive constructs).

(*A*) "There is a white, carved stone pillar" is true is invariably concomitant with

(*A′*) It is *pramāṇa*-true that there is a cognitive construct that there is a white, carved, stonepillar.

A′) being true, there is knowledge that there is a white carved stone pillar. An account has been given in which the truth of *A* has been accounted for in terms of knowledge that *A′* is ture. Experience is coherent on the idealist account, i.e., on the account given by the idealist interpretation *A′*.

This is where Śaṅkara's argument is relevant.

> There is experience (or awareness — *upalabdhi*) and *a fortiori*, [the] distinction [of something] from experience must be admitted. Nobody experiences a [perceptual] experience of a pillar, a wall, etc.; rather people have experience of objects of experience as [being] a pillar, a wall, etc.

His point about the externality represented in experience can be understood by looking more closely at *A* to see whether it is the best candidate statement to represent *neutrally* the experiential state. His claim is that it is not. It is not, because, though it seems satisfactorily to represent the experience, a closer analysis reveals an elision in the statement. Even though *A* is the form one may colloquially give to the statement regarding the relevant experience, what one must actually state, if one is to be more accurate, is something like

(*B*) There is a white, carved stone pillar (five feet and directly) in front (of me or my line of vision).

This is simply to say that the statement must be about not only the qualities located in the pillar but the pillar as an *object*: in other words, not only about the pillar but the pillar as other than a perceptual/cognitive state itself. To say that the pillar is in front of me is to say that it appears to be located other than in — and therefore distinct from the contents of — my own mental space. Now, *A* is of a form in which every quality — shape, color, pattern and so on, can indeed be reduced to appropriate perceptual states, perceptions of an hexagonal cross-section, whiteness, diagonal lines, etc. *But A is deceptive*. When giving the qualitative appearance of the pillar, it suppresses the quality of the pillar as appearing to be external. The pillar, after all, also has the quality of appearing in experience as occupying non-metaphorical space, but this is not given in A. Being in such a space is also a quality the pillar possesses.

The idealist can now object: it precisely is his point that objects appear as if they were external, and he has never denied that. In fact, it looks as if *B* plays right into his hands, for in bringing out the cognition of externality, Sankara seems to have provided an even better candidate for the idealist translation of the experiential state. Thus:

(*B*) There is a white, carved stone pillar in front is analyzed as

(*B′*) It is *pramāṇa*-true that there is a cognitive construct that there is a white, carved, stone pillar in front.

In that case, the same, idealistic conclusion is held to follow, on the grounds that there is nothing incoherent about the possibility of a cognitive construct that there is a pillar in front of the subject.

The idealist's aim is to show that the concept of externality plays no role in an account of veridical experience (where veridicality is *pramāṇa*-true). This concept plays no role because, as we saw, it is explicitly seen as an illusion, and *the illusory cannot be part of an account of the veridical*. So the idealist is committed to showing that the experience of externality (i.e., that feature of experience that takes the form of representing objects as distinct from cognition) is in fact to be explained specifically without recourse to the concept of externality. If the account is to be free of any appeal to that concept, then it must explain the experience of externality in

terms of something else. This something else is the cognition itself. In the case at hand, it is the perceptual state of seeing. So the idealist's aim must be to account for such an experience, as is represented in B, explicitly through a concept that makes no use of the notion of externality (and of course, a perceptual state, which is a state of the subject's consciousness, cannot, by definition, be an application of the concept of externality, for the latter necessarily requires an object separate from the subject).

That is to say, if there is only a perceptual state (a cognitive construction of a white, carved stone pillar), then there would be an account of that pillar in which there is no role for the experience of a pillar as external. According to the Advaitin, however, this is just what is wrong about the idealist analysis. The concept of externality, applied to the perception that the pillar is in front, cannot be reduced to a concept that does not involve externality, namely the concept that there is only a perceptual state. Let us see how the Advaitic objection goes. Suppose that the idealist applies his favored criteria to check the validity of B'. Suppose too that B' is validated.[30]

So B' is validated using certain criteria whose legitimacy we have granted to the idealist. If so, then it is known that B'. *But if B' is true, then B is false.* If it is true that the pillar's being in front of me is truly part of a cognitive construct, then it is false that there is a pillar in front of me, because, if the pillar were indeed in front of me, it would be separate from me and therefore not a cognitive construct of mine. In fact, every neutral statement regarding the experience of objects being external is false if the idealist translation of the neutral statement on experience is true. Whatever the conclusion regarding the validity or invalidity of a particular idealist translation of a cognition of an external object, the corresponding neutral statement on experience will be false. Every statement of the form B'), which rejects the role of the concept of externality, requires the corresponding neutral statement B to be false, since B representing what B' implies is an illusion.

But now, if every such statement is false and yet the idealist insists on the legitimacy of his analysis, then experience cannot, on his account, be coherent. Experience *seems* to distinguish between correct and erroneous cognitions, between true and false statements about experience, but on the idealist view, experience is *in reality* always erroneous in its representation of externality.

V. THE DIFFERENCE BETWEEN SKEPTICAL AND IDEALIST STRATEGIES AGAINST THE CONCEPT OF EXTERNALITY

It does not matter, then, that the idealist can give an account of how perception seems to be *as if* of external objects, by using such notions as consistency, regularity, etc.; as long as a constitutive part of his thesis is that the concept of externality (which is just the application of the subject-object distinction to any account of experience) is illusory, then he is committed to saying that experience is systematically mistaken.

This conclusion is particularly galling to the idealist seen in the light of Western anti-skepticism. When the skeptic argues that we may be in error in judging experience to be of external objects, a reply that in fact we assuredly are in error to so judge seems singularly pointless. The situation is more complex with Vasubandhu. For it may well be that he is quite happy to accept the conclusion that experience is incoherent. After all, the case may be made that his arguments are really skeptical in intent.[31] This depends, of course, on what is meant by skepticism in this context. One form, found in Indian thought but not too obvious in the West, is a sort of "transcendental skepticism." It is the view that it cannot be determined that there is no other experience than the current (coherent or incoherent) one; it cannot be determined as to whether what current experience grasps is a determinate reality. Some Advaitins can be interpreted as holding this sort qf view, especially, Vācaspati Misra[32] and Srī Harsa.[33] (In Western thought, we do have something vaguely like it in one interpretation of Kant: "Although we cannot coherently rule in the possibility of [some transcendental] non-spatial and non-temporal awareness, we cannot reasonably rule it out."[34]) Soteriological claims in both brahmanical and Buddhist schools take this form. But that is not what is at issue here.

The skepticism here is of another form. Let us call it "empirical skepticism." On this view, it cannot be determined that *this* current experience of a purported reality is coherent; it cannot be determined whether current experience at all grasps any part of a determinate reality. Transcendental and empirical skepticism can be held separately. In Indian thought, they are best known for being held in tandem by the Mdhayamika school.

There is a strategy by which the coherence of current experience can be questioned so as to set the stage for the possibility of some other, this time coherent, and transcendental experience. (One could, of course, carefully maintain a silence about the nature of such transcendence, on pain of incoherence).

But Vasubandhu cannot afford to adopt this strategy. The reason is simple: if he were trying to say that current experience is incoherent, then he would not have acknowledged the need to demonstrate the coherence of (non-external) dreaming experience. Challenged by the thought that dreaming experience may be incoherent, he would gratefully have accepted it, as a prelude to the acceptance of the incoherence of waking experience. But he does not do that. He accepts that experience must be understood in terms of regularities and intersubjective consistency. It is precisely because he assumes that there is a need to square his account of experience with the requirement of coherence that he sets out to argue that dreams (when properly analyzed) indeed do display such regularities. So, although he wishes to adhere to some form of transcendental skepticism as a way of establishing the Buddhist soteriological doctrine of *nirvāṇa*, he is not prepared to defend empirical skepticism; at least, his strategy of defending experience as coherent on his non-externalist account seems to commit him to the rejection of empirical skepticism.

If that is his strategy, then he cannot accept the conclusion that experience is always incoherent in its misrepresentation of externality. He cannot have it both ways: he must either give up an idealist translation of experience in which any appeal to the concept of externality is ruled out, or he must accept that experience is incoherent by virtue of being systematically illusory with regard to the representation of such externality.

If Vasubandhu's argument is correct, then we should be aware at all times that experience is illusory; we should have veridical experience that objects are not external even though they are presented as if they were. So, let us suppose he is correct. We might then reason that while he himself cannot make this point (for he would be committed to rejecting the very regularities he is concerned to defend on his idealist account), could not someone committed to empirical skepticism happily take over this argument?

They could not, at least not through the particular argument Vasubandhu has made. For the case would be made only if he were correct, but he is not.

He is not correct because he has attempted to explain experience without the concept of externality, and that, we have already seen in our analysis of the argument from dreams, he has not succeeded in doing. As Śaṅkara says of his idealist opponents, "they too, in the manner known to all people, become aware of the appearance of externality and only because of that are able to use the qualifier 'as if' in the term 'as if external'; yet they deny externality."

He compares this cryptically — perhaps unfairly — to the case of someone who asserts that Viṣṇumitra is the son of a woman who is not a mother. In other words, the denial of externality requires the experience of externality; but this leads to the contradiction of denying experience, like first seeing a man and then asserting that he is an impossible entity. So, if anyone is to argue for empirical skepticism, they cannot do that via an argument against externality. Also, if anyone is to argue for transcendental skepticism, they cannot do that via such an argument either. The assumption of externality in any account of experience is unavoidable.[35]

What could be the next possible step in the controversy? It is conceivable that one could come up with a defence of Vasubandhu. This could take one of two forms. On the one hand, some flaw could be spotted in the argument I have given, and a coherent account of experience given in which the concept of externality still played no part. Obviously, I am at the moment unable to anticipate what that flaw could be. On the other hand, it might be argued that I have misinterpreted Vasubandhu. That is, it might be argued that Vasubandhu does not reject the role of the concept of externality — provided it is understood in a suitably non-realist way — and that, consequently, he too can offer a coherent account of experience. Now, that would be a matter of exegesis and I am open to correction. But it should be noted that if such an account is found in Vasubandhu, it would be incumbent on the interpreter to say whether this is different from the Advaitic account and, if so, how.[36]

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NOTES

1. Berkeley, *Siris* (1948–57), in A. A. Luce and T. E. Jessop, eds., *The Works of George Berkeley, Bishop of Cloyne* (London: Thomas Nelson and Sons), section 271.

2. T. C. Sastri and R. Tripathi, eds., Sanskrit Visvavidyalaya, Benares (1972); *Trimśatika* section, verse 17.

3. Sthiramati, *Madhyāntavibhāga-sūtrabhāṣyatīkā* (1932), V. Bhattacharya and G. Tucci, eds. (Luzac and Company), I.4.

4. "Dreams and Reality: The Śaṅkarite Critique of Vijñānavāda," *Philosophy East and West*, vol. 43 (1993).

5. He consciously marks the limitation of the refutation, for it is his aim to use the analogy of dreams for his own purposes. His commentators do not always appreciate this and often adopt the idealist moral themselves.

6. *Vimśatika*, verses 11–15.

7. This is against a Buddhist of another school, a Sautrāntika, who rejects physical atomism but nevertheless gives an atomistic account in terms of property-particulars (*rūpa-dharmas*). I shall take these to be qualia, which are the favored entities of any phenomenalistic atomism.

8. *A Treatise Concerning the Principles of Human Knowledge* in M. R. Ayers, ed., *George Berkeley: Philosophical Works Including the Works on Vision* (London: Dent, 1975), p. 82.

9. *Siris* (1948–57), section 318.

10. T. C. Sastri and R. Tripathi, eds., Sanskrit Visvavidyalaya, Benares (1972).

11. Pandit Dandiraj Sastri (ed.), *Brahmas ūtrabhāṣya (Kashi Sanskrit Series, Benares, 1929) p. 551*.

12. *Ibid*.

13. Vācaspati, *Bhāmatī* (1984), in Swami Yogendrananda, ed., *Brahmas ūtrabhāṣya with the Commentary Bhāmatī and (Hindi) Bhāmatī-vākya, Saddarsanaprakasanapratistanam*, Benares, p. 732.

14. *Three Dialogues Between Hylas and Philonus* (1975), p. 159.

15. C. Turbayne, "Berkeley and Russell on Space," *Dialectica*, vol. 8 (1983), pp. 210–27.

16. *Śaṅkara, Bṛhadāraṇ yakopaniṣadbhāṣya* (1981), translated by K. H. Potter, in K. H. Potter, ed., *Encyclopedia of Indian Philosophies: Advaita Vedānta upto Śaṅkara and His Pupils* (Delhi: Motilal Benarsidass), p. 200.

17. Swami Dwarakidas Sastri, ed., Baudhha Bharati, Varanasi (1970–72). See especially, I.17.

18. In (1975).

19. See my (1993), section III.

20. *Vimśatika*, verse 3.

21. *Trimśatika*, verse 20.

22. My (1993), section II, part 1.

23. Śaṅkara (1981), p 200; emphasis mine.

24. Śaṅkara (1929), *ibid*.

25. Tola, F. and Dragonetti, C., "Diṅnāga's *Ālambanapar īkṣā-vṛtti,*" *Journal of Indian Philosophy* vol. 10 (1982), pp. 126–27.

26. (1929), p. 551.

27. I use "experience" here to mean the sequence of cognitions; I am therefore using experience (*anubhava*) in the narrow sense of cognitions of objects, rather than in the broader sense of everything — love, despair, hope, glory — that constitute a life. In the narrow sense, a cognitive episode (*jñāna*) is interchangeable in usage with an experiential event (*pratyaya*).

28. Invariable correlation or concomitance may be defined thus: y is invariably correlated with x if and only if: always y occurs only if x occurs; contraposing, never if x does not occur does y occur. (I give the contraposed form because there is a debate in Indian thought on whether they are epistemically equivalent, an equivalence or absence thereof which matters much in Indian "logical" thought.)

29. We will remain neutral on the debate over whether this awareness of the concomitance is part of the content of the cognition in question or whether it is another individuated cognition.

30. Here we must note that the idealist is committed to the possibility of a statement such as *B* being true, though, of course, he must recognize that error occurs and must be explained. Therefore, he must explain how certain statements can be false by the standards of the *pramna* system. He does this through his idealist theory of self-generated cognition (*tmakhytivda*) (including the theory of how error occurs). We shall forbear to go into the plausibility of that theory and grant him the possibility of being able to account for error through the use of his favored criteria within the system of validation.

31. Matilal, *Perception* (Oxford: Claredon Press, 1986), p. 229ff.

32. I have developed these ideas in detail elsewhere. With regard to Vācaspati: "Is the Experienced World a Determinate Totality?" *Journal of the Indian Council of Philosophical Research*, forthcoming.

33. With regard to Srī Harṣa: "Knowledge and the 'Real' World: Srī Harṣa and the *Pramāṇas*," *Journal of Indian Philosophy* (1993); and "The Provisional World: Existenthood, Causal Efficiency and Srī Harṣa," *Journal of Indian Philosophy*, forthcoming.

34. Wilkerson, *Kant's Critique of Pure Reason* (Oxford: Clarendon Press, 1976), p. 188.

35. It should be noted here that the point I am making is not about how we possess the concept of externality or space and distance; it is that there is that in our experience of objects by virtue of which we indeed grasp that concept. What is it by virtue of which we do so? The answer is that the experience we have is constituted as experience of objects as external. This does not settle the issue of whether this concept is prior to or gained from experience; but it is clearly not separable from experience of objects. So even if it were to be argued, as by an empiricist, that we gain the idea of externality from experience, so long as it is also maintained, as by the idealist, that that idea is in some sense a misrepresentation of what there really is, the conclusion holds that idealism cannot render experience coherent.

36. I would like to thank John Williams for all his help with both the form and content of the paper, and Cecilia Lim for her useful suggestions.

ASTITVA JÑEYATVA ABHIDHEYATVA

By Karl Potterer, Minneapolis

astitvaṃ jñeyatvam abhidheyatvam

I.

tamas

abhāva

asti

bhāva

māyā　　　*anirvacanīya*

mithyā

māyā

māyā

māyā

māyā"

māyā

māyā

II

astitva, jñeyatva   *abhidheyatva*

tva

jātibādhaka
tulyatva

x-tva
    y-tva
y-tva

astitva, jñeyatva   *abhidheyatva*

J. L. SHAW

THE NYĀYA ON EXISTENCE, KNOWABILITY AND NAMEABILITY[*]

According to the Nyāya[1] existence (*astitva*), knowability (*jñeyatva*), and nameability (*abhidheyatva*) are considered as universal properties. All the categories of the Nyāya—Vaiśeṣika system including absence (*abhāva*) are said to have these three properties. In contemporary Western philosophy also, the problem of existence including the problem of identity occupies some logicians. The Nyāya view on such related topics might shed some light.

In this context it is to be noted that there is a difference of opinion as to the nature of existence among the Naiyāyikas. Śrīdhara,[2] a Naiyāyika, following Praśastapāda has explained the distinction between existence (*astitva*) as a universal property and existence (*sattā*) as a generic property (*jāti*). According to him existence as a universal property (from now on to be called 'existence$_2$') is common to all the six positive categories, viz., substance, quality, action, inherence relation, generic property and particularity. Existence as a generic property (from now on to be called 'existence$_1$'), which is very close to the Aristotelian conception of universal, is present only in substance, quality and action through the inherence relation. We can say that any particular individual object in any of the three categories has got existence$_1$. It is present in such individual objects (*vyakti*) through the inherence relation (*samavāya sambandha*) which is also called the inseparable relation.

Now it may be asked why existence$_1$ is present only in substance, quality and action. In order to avoid many logical puzzles it is claimed that inherence (*samavāya*), generic property (*jāti*) and the particularity (*viśeṣa*)

[of atoms and other eternal or simple objects] do not have existence$_1$. If existence$_1$ which is a generic property is itself present in a generic property, we have the puzzle of self-predication. If existence$_1$ is present as a generic property in each particularity, it ceases to be unique and particular. Inherence (*samavāya*) connects a generic property (*jāti*) with an individual. Now if existence$_1$ is present in inherence, it is to be related to inherence by another inherence and so on. Hence in order to avoid this regress it is claimed that existence$_1$ is not present in inherence.[3]

In addition to the above logical reason, there might be some psychologicalor epistemological reason behind the distinction between existence$_1$ and existence$_2$. We perceive substance, quality and action directly. But other entities are not perceived with the same directness. For the perception of a generic property (*jāti*) as a generic property, we require the apprehension of similarity (*anuvṛtti pratyaya*) between disparate objects. Ultimate differentiae or particularities of ultimate substances are not perceived in the way ordinary objects are perceived because the atomic constituents of an object are not perceived when we perceive an object. The epistemic directness present in the perception of substance, quality and action is not present when we perceive the inherence relation (*samavāya sambandha*). Both inherence (*samavāya*) and absence (*abhāva*) are relational entities. The relational nature of absence (*abhāva*) is more than that of inherence (*samavāya*). An absence has got twofold relational dependence. An absence is always an absence of something and it is present in some locus. The Nyāya does not admit bare absence. Let us consider the absence of a pot. Here all pots together form the counterpositive (*pratiyogī*) of the absence. According to the Nyāya, there cannot be an absence of an unreal object. The counterpositive (*pratiyogl*) of an absence must be an actual or perceived object. This condition rules out absences such as the absence of a hare's horn or the absence of the son of a barren woman. Usually a distinction is drawn in Western philosophy between the hare's horn and the son of a barren woman. It is claimed that the former is logically possible, though in fact it never occurs; while the latter is logically impossible. The Nyāya use of the term 'impossible' (*aprasiddha*) includes both empirical impossibility and logical impossibility. So an impossible (*aprasiddha*) object cannot be a counterpositive of an absence.

The Nyāya has accepted a relational abstract called counterpositiveness (*pratiyogitā*) which relates an absence to its counterpositive. The counterpositiveness is a type of self-linking relation (*svarūpa sambandha*). This relation is distinct from the relation of identity. It is neither reflexive nor symmetric.

Moreover, according to the Nyāya an absence of something is present in some locus. The locus of an absence is a real entity. The absence of a pot occurs in a set of loci. Now the question is how the absence of a pot is related to its locus. The relation of absence of a pot to its locus is also a self-linking relation (*svarūpa sambandha*). This shows the dependent nature of the absence of something or absence as an ontological category. Since it is not reducible to any positive entity, it is ontologically distinct from positive entities. In the sequel we shall discuss whether existence$_2$ is to be ascribed to absence also. Before taking up this problem let us discuss a few more attempts to draw the distinction between existence$_1$ and existence$_2$.

Śrīdhara,[4] a Naiyāyika, says that some philosophers have explicated existence$_1$ as *pramāṇagamyatā*, i.e. as that which is known by the accepted means of knowledge. Perception, inference, testimony and comparison are regarded as accepted means or instruments of knowledge. But if this definition is interpreted in the following way, then it involves circularity. The accepted means of knowledge has been explicated in terms of the objects having existence$_1$. Formally it can be represented in the following way:

> x has existence$_1$
> > *Df* x is known by an accepted means of knowledge.
> x is an accepted means of knowledge
> > *Df* The object of x (i.e. the objects known by the means of knowledge x) is something which has existence$_1$.

This representation clearly reveals the circular nature of the above definition. Moreover, this definition involves an infinite regress. If the means or instruments of knowledge have existence$_1$, we need another means of knowledge to know this means of knowledge, and so on. For these reasons most of the Naiyāyikas do not accept the above definition of existence$_1$.

Another attempt[5] has been made to explicate the existence$_1$ in terms of *pramāṇasambandhyayogya-vastusvarūpa*, i.e. the objects which can be established by accepted means of knowledge. This definition refers to the dispositional quality of the objects, while the former definition does not refer to any dispositional quality of the objects. By referring to the dispositional quality of the object, this definition overcomes the cognitive circularity. A circularity is to be called cognitive if, in order to know *X*, we have to know *Y*, and *vice versa*. But an ordinary circularity where this type of cognitive difficulty does not arise is a case where the terms are interdefinable. The second definition of existence$_1$ mentioned above avoids the first type of circularity, but not the second type. The upholders of this interpretation of existence$_1$ argue, finally, that there is no need to accept existence$_1$ as a generic property (*jāti*), as an independent category distinct from substance, quality and action.

Another related question has to be answered in this connection. The question is, why should we include only substance, quality and action in one group? The question demands an answer in terms of the principle of grouping. Śrīdhara suggests a specification of the principle of grouping. According to him, existence$_1$ is to be accepted in order to give an account of the commonness in the perception (*akākāra-pratīti*) of substance, quality and action. In other words, when we perceive substance, quality and action, we not only perceive them as distinct from each other, but also perceive them as existent. This commonness in the perception cannot be accounted for in terms of the nature of either substance or quality or action alone. It must be different from, but common to substance, quality and action. This commonness in the perception has been further explained in terms of a notion that is distinct from the notion of absence (cf. *abhāvabilakṣaṇa*).[6]

This argument of Śrīdhara may be considered as an epistemic argument for the acceptance of existence$_1$. It is a fact that substance, quality and action appear as unified under the notion of existence$_x$. That which serves as a principle of unity is to be called a generic property (*jāti*). Since this principle fulfils all the conditions for the acceptance of a generic property (*jāti*), it is to be regarded as a generic property (*jāti*). In addition to this argument (i.e., commonness perceived in substance, quality and action) we put forward another epistemological argument for grouping them under one heading. The way we come to know substance, quality and action is not the

same as the way we come to know other categories, viz., generic property (*jāti*) as a genuine property, particularity (*viśeṣa*), inherence (*samavāya*) and absence (*abhāva*).

Now let us consider existence$_2$ (*astitva*). According to Śrīdhara[7] existence$_2$ is the common characteristic of all the six positive categories. Existence$_2$ is the unifying principle of substance, quality, action, particularity, generic property and inherence. According to this view, therefore, to say that x has existence$_2$ is equivalent to saying that x is a positive entity. This view does not ascribe existence$_2$ to absence (*abhāva*), although some other Naiyāyikas including Udayana[8] ascribed existence$_2$ to absence (*abhāva*) also. Some arguments might be devised for ascribing existence$_2$ to absence also. First of all, from the ontological point of view, the absence of a pot does not hold the same position as the son of a barren woman. It is not as unreal as the son of a barren woman. But from this it does not follow that it is as real as a positive entity. It has got, for example, two-fold dependence on positive entities. The counterpositive of an absence must be a real object as opposed to an unreal object. Any expression of the form 'absence of x' where 'x' ranges over both positive and negative entities, is significant if the expression 'absence of y', where 'y' ranges over positive entities only, is significant. Hence in order to determine whether 'absence of absence of a' is significant, we have to determine whether 'absence of a' is significant. The latter expression would be significant if 'a' stands for a positive entity. In this way an absence is dependent on a positive entity. Moreover, an absence of x *usually* requires a positive locus. From these facts one might say that an absence shares some features common to positive entities. Since existence$_2$ is the common feature of all the positive entities, we can ascribe this feature to absence also, and by the term 'positive entity' we demarcate or distinguish the six categories from absence. Now we are landed with a three-fold ontological classification of entities:

1.   Substance, quality and action,
2.   Substance, quality, action, particularity, generic property and inherence,
3.   Substance, quality, action, particularity, generic property,

inherence and absence.

According to our positive thesis if we follow the line of argument followed by some Naiyāyikas who have made the distinction between existence$_1$ and existence$_2$, we should introduce existence$_3$ also. If in order to explain the commonness of substance, quality and action we have to postulate existence$_1$, then in order to explain the commonness of the six positive categories we should postulate existence$_2$ and in order to explain the commonness of all ontological categories including absence (*abhāva*) we should postulate existence$_3$. Now the question is how these different existences (i.e existence$_1$, existence$_2$ and existence$_3$) are related. By applying the following principle they can be ranked in a hierarchical order. The principle may be stated in the following way:

> Existence$_n$ is more basic than existence$_{n+1}$ if and only if the objects to which existence$_n$ is applicable are more basic than the objects to which existence$_{n+1}$ is applicable.

According to the Nyāya not only existence (*astitva*) (existence $_3$ in our reconstruction of the Nyāya view) but also knowability (*jñeyatva*) and name-ability (*abhidheyatva*) are properties of all objects including absences. To exist is to be knowable and nameable. It is claimed that if something has one of the three properties, it has the remaining two properties as well. According to Śrīdhara[9] 'nameability' (*abhidheyatva*) means the property of being communicable through a (linguistic) expression (cf. *abhidhāna-pratipādanayogya*). Every object has the property of being communicable through language. Udayana,[10] a Naiyāyika, also defines 'nameability' (*abhidheyatva*) as the property of being connected (or related) with a word or an expression (cf. *śabdena saṃgatilakṣaṇasambandha*). This amounts to saying that the objects have the property of being referred to by expressions. From these definitions of Śrīdhara and Udayana it follows that the word 'name' in this context means 'referring expression'. So the expression 'nameability' stands for the property of being referred to by a referring expression.

According to Udayana,[11] 'knowability' (*jñeyatva*) means the property of being known or cognised (cf. *jñapya-jñapakalakṣaṇasambandha*). This amounts to saying that an object can be an object of knowledge or cognition.

From our discussion of existence$_3$ (*astitva*), knowability (*jñeyatva*) and nameability (*abhidheyatva*), it is obvious that the latter two are relational properties of objects. In the case of knowability (*jñeyatva*) the relation is between object and knowledge or cognition and in the case of nameability (*abhidheyatva*), the relation is between an object and a name (an expression). But existence$_3$ (*astitva*) is not considered as a relational property. Secondly, 'knowability' and 'nameability' are dispositional terms, but not 'existence'. Hence the former two terms refer to dispositional properties, but not the latter.

Now let us discuss the question in what sense existence$_3$, knowability and nameability are to be regarded as properties of all objects. The Nyāya claims that they are imposed properties (*upādhis*). According to the Nyāya, properties other than qualities, actions, particularities, and absences are of two types. One type of property is called a generic property (*jāti*), which roughly corresponds to class-essence, and the other type of property is called an imposed property (*upādhi*). All the properties other than class-essences are to be included in the latter group. A generic property or class-essence (*jāti*) is ontologically distinct from the individuals and it is related to the individual objects through the inherence relation. But an imposed property (*upādhi*) is not ontologically distinct from the possessor of it. Moreover, it is not related to its possessor through the inherence relation, but through what is called a self-linking relation (*svarūpa sambandha*). The property of humanity or man-ness is considered to be a generic property (*jāti*), and it resides in all human beings through the inherence relation. But the unique property of an individual person is considered to be an imposed property. The unique 'personality' of a person (*tad-vyaḥtitva*) is not ontologically distinct from the person in question, and it is related to that person through a self-linking relation (*svarūpa sambandha*). Any property of a generic property is also an imposed property. If potness is a generic property (*jāti*), theil the uniqueness of potness is an imposed property which qualifies potness, and it is related to potness through a self-linking relation (*svarūpa sambandha*).

The Nyāya claims that existences₃ (*astitva*), knowability (*jñeyatva*) and nameability (*abhidheyatva*) are to be regarded as imposed properties of all objects. Since they are properties of all objects, they cannot themselves be generic properties (*jātis*). If they are treated as generic properties (*jātis*), they cannot be properties of generic properties (*jātis*), inherence (*samavāya*), particularities (*viśeṣas*) and absence (*abhāva*). In order thus to avoid many logical puzzles, imposed properties (*upādhis*) are not treated as generic properties (*jātis*).

Let us now discuss some of the objections which can be raised against the Nyāya view.

It may be said that the Nyāya analysis of these terms involves circularity.[12] If we use nameability as a criterion of existence, we have to postulate objects corresponding to each name or referring expression. Now the question is, what is the criterion of nameability? If we take a grammatical criterion of names, any referring expression would be a name. On a grammatical criterion referring expressions such as 'John', 'Pegasus', 'the author of Waverley', 'the sky-flower', 'the son of a barren woman' would be treated as names. Hence if we accept nameability as a criterion of existence and a grammatical criterion of names, we have to include objects such as Pegasus and a hare's horn in our ontology. This move is not acceptable to the Nyāya. If we accept existence also as the criterion of nameability, the definition of existence becomes circular, and the empty referring expressions would not be considered as names. But the Nyāya draws a distinction between an empty referring expression like 'Pegasus' on the one hand, and a non-empty referring expression like 'Socrates' on the other. According to the Nyāya if *x* exists, then *x* is nameable. But this does not imply that if *x* is nameable, then *x* exists, where '*x*' ranges over both empty and non-empty domains. This will be obvious once we explain the distinction between an empty referring expression and a non-empty referring expression as made by the Nyāya philosophers.

If the empty referring expressions are considered as meaningless, we cannot make statements like 'a hare's horn does not exist' or 'no existent thing is unnameable'. The Nyāya would say that these statements need logical analysis. In the ideal language of the Nyāya the phrase 'the absence of horn in a hare' would occur instead of the phrase 'the absence of a hare's horn'. The phrase 'the absence of a hare's horn' violates one of the rules of negation. According to the Nyāya, in the phrase 'the absence of *x*', '*x* must

refer to a real entity. Since this condition is not fulfilled, the phrase 'the absence of a hare's horn' would be non-significant. Now the question is whether the term 'a hare's horn' is meaningful. According to the Nyāya, if an expression represents (or expresses) a qualificative cognition (*savikalpa-jn~āna*), it is to be considered as meaningful and the cognition would be either true or false. The cognitive content expressed by the term 'a hare's horn' may be represented thus:

C(hare-contentness — horn-contentness).

The term 'hare-contentness' signifies a relational abstract resident in a hare. In other words, it signifies a hare's property of being related to cognition. The term 'horn-contentness', similarly, signifies a horn's property of being related to cognition. 'C' signifies the *condition* relation or the *qualificand-qualifier* relation. The hare-contentness is conditioned by horn-contentness. In every qualificative cognition (*savikalpa-jn~āna*) this *condition* relation is present. According to the Nyāya the ultimate constituents of the content of a cognition are real entities. In the above example the terms 'horn' and 'hare' refer to real entities and hence they are non-empty terms. If these terms themselves represent qualificative cognitions, then the ultimate constituents of these contents would not be a hare or a horn, but the constituents of the cognitive content expressed by the expression 'hare' or 'horn'. As a matter of fact, according to the Nyāya the word 'hare' or 'horn' expresses a qualificative cognition. The cognitive content expressed by the word 'hare' might be represented in the following way:

C(hare-individual-contentness — hare-ness-contentness).

The term 'hare-individual-contentness' signifies hare-individual's property of being related to cognition, and the term 'hare-ness-contentness' signifies hare-ness's property of being related to cognition. The term 'C' signifies the *condition* relation or the *qualificand-qualifier* relation. The question of truth or falsity arises with respect to a qualificative cognition which involves a distinction between qualificand and qualifier. In the case of a true cognition the complex contentness resides in the object which corresponds to the complex content of a cognition, but in the case of a false cognition the complex contentness does not reside in the complex object corresponding to

the complex content, because there is no such complex object. The complex contentness is determined by its constituent contentnesses. This type of contentness which is present in every qualificative cognition (*savikalpa-jn~āna*) may be called condition-contentness (cf. *nirūpya-nirūpakabhāvāpanna-viṣayatā*).[13]

In the case of a true cognition also this complex contentness which is a function of its constituent contentnesses is present. In addition to this contentness which is present in all qualificative cognitions, a true cognition has another complex contentness (*viśiṣṭāviṣayatā*) which resides in the complex object corresponding to the cognitive content. In other words, according to the Nyāya theory of meaning the atomic parts of a meaningful expression must be non-empty and a complex expression may be empty or non-empty. A complex expression would be meaningful if its atomic parts are non-empty and its meaning can be explained in terms of the cognitive content. The expression 'a hare's horn' expresses a complex cognitive content and its constituent terms, viz. 'hare' and 'horn', are non-empty. Hence it is to be considered as meaningful. Since there is no object corresponding to the complex cognitive content, i.e. C(hare-contentness — horn-contentness), the sentence which expresses the content is to be considered as false.

Now let us consider the question whether the term 'unnameable' is meaningful according to the Nyāya. If the term 'unnameable' is meaningless, the expression 'no existent thing is unnameable' would be meaningless. The term 'unnameable' means 'absence of nameability'. According to the Nyāya theory of absence (negation), an absence must be an absence of a real entity and the absence of it (i.e. the real entity) must be locatable in some locus which is a real entity. The complex 'absence of nameability' fulfils the first requirement, but not the second requirement. (It is to be noted that the term 'absence of a hare's horn' does not fulfil the first requirement.) Since the negation of a universal property is not locatable anywhere, the Nyāya would not consider the negation of a universal property as another property. In this respect the Nyāya does not accept what is called the significance criterion of negation in Western logic. According to this criterion, if a term is meaningful, its negation is also meaningful. The terms 'existence', 'nameability' and 'knowability' are meaningful, but their negations are not meaningful, because they violate one of the conditions for negation (*abhāva*).

The Nyāya rules for absence are to be treated as rules for making negative terms. If a negative term does not denote a negative property occurring in some locus, it cannot be a genuine (or significant) negative term. Since the absence of a universal property is not locatable in some (real) locus, it cannot be treated as a genuine property and hence the term denoting such a property cannot be treated as a significant expression. If the term 'unnameable' is nonsignificant, the sentences 'no existent thing is unnameable' and 'all unnameable things are non-existent' are also non-significant. But the sentence 'all existent things are nameable' is true. Hence one may say that, according to the Nyāya, the rules of obversion, contraposition and double negation are not universally valid rules.

Now let us discuss the question whether there are three universal properties corresponding to the terms 'existence', 'knowability' and 'nameability'. The Nyāya accepts only one class-essence or generic property (*jāti*) for a class of objects. Corresponding to the class-word 'man' there is the generic property *humanity*. Similarly, corresponding to each term signifying a species, there is a generic property (*jāti*). If different terms are used to express the generic property of a class, they do not express distinct generic properties. They name the same generic property. Now if this argument is used in the context of imposed properties (*upādhis*), then 'existence', 'knowability' and 'nameability' would name the same imposed property.[14] But obviously an imposed property is not a generic property. And the criterion of identity of a generic property is not the same as that of an imposed property. This is underlined in the Nyāya distinction between a *jāti* or generic property and an *upādhi* or imposed property.

One can, however, question whether the Nyāya has used redundant terms in designating the same imposed property by using three different terms. If there is no difference between these terms, the charge of redundancy might be put forward against the Nyāya. But it appears to us that the Nyāya has not used redundant terms in this context. By using three different terms the Nyāya is emphasising the mode of presentation of the universal feature of all objects. If the term 'meaning' is used for 'the mode of presentation', it might be said that these terms differ in meaning, although they may have the same reference. This difference in meaning can be shown in several ways. The terms 'knowability' and 'nameability' emphasize the relational mode of presentation of the objects. The term 'knowability' emphasizes the relation of objects to knowledge or cognition and the term 'nameability'

emphasizes the relation of objects to names or expressions. Moreover, 'knowability' and 'nameability' are dispositional terms. But the term 'existence' does not signify the relational mode of presentation of the objects. Moreover, it is not a dispositional term like 'knowability' or 'nameability'. Hence if we draw such a distinction of meanings (modes of presentation) of these terms, we can say that these three terms may have the same reference, but they differ in meaning. If two expressions have the same reference, but differ in meaning, one of them cannot be called 'redundant' in the usual sense of the term. Hence the charge of redundancy cannot be brought against the Nyāya.[15]

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NOTES

[1] I have confined my discussion to the theories of Praśastapāda, Śrīdhara, and Udayana (*Kiraṇāvalī*).

[2] Śrīdhara, p. 41.

[3] Matilal (1971), pp. 74–75.

[4] Śrīdhara, p. 31.

[5] Ibid., p. 32.

[6] Ibid., p. 33.

[7] Ibid., p. 41.

[8] Udayana's *Kiraṇāvalī*, p. 19.

[9] Śrīdhara, p. 41.

[10] Udayana, *Kiraṇāvalī*, p. 19.

[11] Ibid., *Kiraṇāvalī*, p. 19.

[12] Potter has also raised similar points in his article, "*Astitva jñeyatva Abhidheyatva*".

[13] Matilal (1968), pp. 28–29.

[14] In this context one might ask whether one can talk about the same imposed property if the terms which signify this property are empty. According to the Nyāya semantics the expressions which signify an unreal imposed property are empty terms. The terms which signify the same unreal imposed property would express the same cognitive content. Hence the synonymity of the terms signifying the same unreal imposed property is to be explained in terms of the identity of the

cognitive content. That is to say, these terms express the same cognitive content. For a more comprehensive discussion on the Nyāya concept of empty terms see Matilal (1971), pp. 123–145, and Shaw (1974), pp. 332–343.

[15] For some of the points mentioned in this paper, I am indebted to Professor B. K. Matilal. I am also indebted to Professor G. E. Hughes for many valuable suggestions. However, the faults are mine.

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IS WHATEVER EXISTS KNOWABLE AND NAMEABLE?

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Naiyāyikas are fond of a slogan, which often appears as a kind of motto in their texts:"Whatever exists is knowable and nameable" *(astitvaṃ jñeyatvam abhidheyatvam)*. What does this mean? Is it true? The first part of this essay offers a brief explication of this important Nyāya thesis; the second part argues that, given certain plausible assumptions, the thesis is demonstrably false.

I

"Whatever exists is knowable and nameable." This thesis seems to have been introduced into Nyāya-Vaiśeṣika by Praśastapāda with the following elusive statement:

> All six categories possess existence, nameability and knowability *(sāṇṇām api padārthānām astitvābhidheyatvajñeyatvāni)*.[1]

Subsequent Naiyāyikas take over and develop this thesis in various interesting ways, but my concern here is with its philosophical significance and plausibility, rather than its history.[2]

Nyāya understands this thesis to be fully convertible: not only are all existents knowable and nameable, but anything knowable or nameable exists. That is, not only is existence a universal property, but so, too, are knowability and nameability. Prima facie the thesis is especially implausible when we consider the case of nameability. First, it seems we can readily name entities that do not exist (e.g., Pegasus, rabbit horns).

Second, we can apparently at least imagine that there may be unnameable entities. But in doing so we name these entities"unnameable." Thus, since they are so nameable, they must exist, but since they are both nameable and unnameable they also cannot exist—a contradiction.

To these objections Nyāya responds by distinguishing between empty referring expressions and non-empty referring expressions. Briefly, the Nyāya strategy is to treat empty referring terms as complex and their simple parts as standing for real elements. Sentences like"The rabbit horn does not exist," which apparently refer to nonexistent entities, are translated into sentences like"There is no relation between the rabbit and a horn," which refer only to entities (including relations) that are reals according to Nyāya metaphysics.[3]"Nameable" means, then, nameable in the ideal language of the Nyāya system wherein all genuine names refer to the reals admitted by Nyāya ontology. No such real is either unnameable or unknowable.

What about"knowable"? If every existent is knowable, by whom is it knowable? One possibility is that all existents are knowable by an omniscient God. From a fairly early date in the development of the school, Nyāya-Vaiśeṣika affirmed the existence of an omniscient *Īśvara*, who composed the Vedas, so it is not surprising that Naiyāya is explicitly committed to affirming that all truths are knowable by God. Indeed, we find that Viśvanātha's *Siddhāntamuktāvalī* glosses"knowability" thus:

> Knowableness *[jñeyatva]* is being an object of knowledge, and it is present in everything, because the state of being an object of God's knowledge is universally present.[4]

It is interesting to note, however, that older Naiyāyikas like Praśastapśda and Udayana make no mention of God in relation to the thesis that all existents are knowable. Clearly this is not because they are skeptical about God's existence: Praśastapāda is often identified with the Praśastamati whose proof of God's existence is mentioned by Śāntarakṣita, and Udayana's *Nyāyakusumāñjali* is the undisputed *locus classicus* for the usual Nyāya theistic proofs.[5] I suggest instead that this omission is because the scope of the knowability thesis is not supposed to be restricted just to knowability by God, but is supposed also to include knowability by humans. Recall the promise of the very first verse of Praśastapāda's *Padārthadharmasaṃgraha* (itself an allusion to *Vaiśeṣika Sūtra* I.i.4):

> A knowledge of the true nature of the six categories …—through their similarities and dissimilarities,—is the means of accomplishing the highest bliss *[niḥśreyasa = mokṣa]*.[6]

Nyāya-Vaiśeṣika is indeed theistic, but it also exhibits a very strong belief in the possibility of liberation through human effort, particularly intellectual effort. If knowledge of the categories *(padārtha)* is supposed to be the means to such liberation, then Nyāya is committed to the possibility of such knowledge by humans.

At least one modern Indian commentator on Nyāya-Vaiśeṣika, Sadananda Bhaduri, is approvingly explicit about this:

> [B]y insisting on knowability as a test of reality and thus suggesting that the two concepts are coextensive, the Vaisesika philosopher makes it perfectly clear that he is not prepared to give quarter to any form of agnosticism. Reality, according to him, is capable of being fully known by means of the resources given to the human mind.[7]

In other words, though Nyāya does indeed believe all existents are knowable by an omniscient God, it is also strongly committed to the thesis that all existents are knowable *by humans*. Given Nyāya's commitment to both the nameability thesis and a correspondence theory of truth, we can without any undue violence to their intentions represent Naiyāyikas as affirming the following two theses:

Divine Knowability: All truths are knowable by an omniscient God.
Human Knowability: All truths are knowable by humans.

This translation of the Nyāya knowability thesis into the possibility of propositional knowledge of truths may be controversial. After all, it might be objected, Nyāya talks of cognitions or awarenesses *(jñāna)*, not propositions. Thus it is more accurate to represent the Nyāya claim in terms of the *de re* knowability of all entities, rather than the *de dicto* knowability of all truths.[8] Contrary to this objection, however, I believe that it is indeed often justifiable to treat cognitions in Nyāya as if they were propositions or sets of interlocking propositions, and to state the knowability thesis in terms of propositional knowledge.

Of course, it is true that *jñāna* are not, strictly speaking, propositions, but episodic cognitions. They do, though, have a propositional structure, and for many purposes it is convenient to treat them as if they were propositions. Moreover, the Nyāya knowability thesis is not just the weak thesis that all entities are cognizable, but the strong thesis that all entities are *veridically* cognizable, that is, knowable in something like the Western sense of that term. (This is particularly evident in Navya-Nyāya where *prameyatva* sometimes replaces *jñeyatva* in the slogan.) Furthermore, Gahgesa insists both that only determinate cognitions *(savikalpaka jñāna)* can be veridical, and that all determinate cognitions are verbalizable. Hence it seems that in Navya-Nyāya all genuine knowledge is effectively propositional, all knowledge is fundamentally knowledge-that.

True, Nyāya also admits the existence of indeterminate cognitions *(nirvikalpaka jñāna)*, which are nonverbalizable. These are not apperceptible; they are known only by inference as a causal presupposition of determinate awarenesses. It is tempting to suppose that these can be understood in terms of *de re* knowability. But, at least for Navya-Nyāya, this would be a mistake. First, Gaṅgeśa insists that such indeterminate cognitions can be neither veridical nor non-veridical, and hence not knowledge. Second, Gaṅgeśa also holds that individuals are cognized only determinately. In an indeterminate cognition we are not directly aware of a bare particular. Rather we cognize only a qualifier, and a relation, and this cognition causes our determinate cognition of an individual as a qualificandum related to a qualifier.[9]

Finally, given these Navya-Nyāya doctrines, we might well be skeptical about the very applicability of the *de re/de dicto* distinction to Nyāya knowability. One familiar way of drawing this distinction (as found, for instance, in Montague grammar) is to say that in *de re* belief we assert a relation between a believer and another individual (i.e., between individuals), whereas in *de dicto* belief we assert a relation between an individual and a set of properties. But, according to Navya-Nyāya, in indeterminate cognition we have a relation only between an individual and a qualifier; so it is not *de re*. And in determinate cognition we have a relation between an individual and another individual only as a qualificandum related to a qualifier, where the qualificandum is not itself just a set of properties; so it is not *de dicto*. (Similar considerations count also against the claim that the Nyāya knowability thesis is about"knowledge

by acquaintance," since this latter kind of knowledge is supposed to involve a direct relation between a knower and an entity, unmediated by any description.)

To return, then, to the difference between divine and human knowability, divine knowability is of course not very controversial if understood in a hypothetical sense; that is, if there is an omniscient God, then presumably all truths are knowable by him. This is arguably just an implication of the concept of omniscience. Indeed, an even stronger thesis seems plausible: if there is an omniscient God, then presumably all truths are known by him. For God, then, knowability collapses into knownness.

For humans, however, things are rather different. First, human knowability does not so obviously collapse into human knownness: whatever the plausibility of the claim that all truths are humanly knowable, it is wildly implausible to suppose that all truths are humanly known. Second, the claim that all truths are knowable by humans is, at the very least, a highly controversial one. True, there are distinguished Western philosophers who also affirm it. Charles Sanders Peirce, for instance, rejected the notion of "incognizables," insisting that only what is knowable by us humans is real: "In short, *cognizability* (in its widest sense) and *being* are not merely metaphysically the same, but are synonymous terms"[10] And Michael Dummett affirms that there is only a fact of the matter when a claim to that effect is such that we humans "could in a finite time bring ourselves into a position in which we were justified either in asserting or denying [it]."[11] But in Western philosophy such views are most typically associated with some form of anti real ism (explicitly so in the case of Dummett). Nyāya-Vaiśeṣika, however, is usually classified as a robust realism. Is realism even *compatible with* the thesis of human knowability?

Thomas Nagel has argued that it is not, but he also stresses how much turns on how we understand the term "realism." One obvious possibility is to construe realism as the affirmation of the thesis that reality is independent of cognizers, that is, that the world does not depend upon cognizers for its existence. Idealism is then defined in terms of the denial of this thesis. But Nagel wants to capture what he takes to be a more insidious form of idealism:

> In simple terms [realism] is the view that the world is independent of our minds, but the problem is to explain this claim in a nontrivial way which

cannot be easily admitted by everyone.… The idealism to which this is opposed holds that what there is is what we can think about or conceive of, or what we or our descendants could come to think about or conceive of.[12]

In other words, according to Nagel, what idealism affirms and realism denies is that the contents of the universe are limited by our capacity for thought. On this understanding of"idealism," then, idealism makes conceivability a universal property. But, then, since nameability and knowability entail conceivability, Nyāya is also a form of idealism. This fits ill with the usual classification of Nyāya as a robust realism vigorously opposed to Buddhist idealism and phenomenalism.

It may be helpful here to remember that realism is traditionally acknowledged to have two distinct components—one metaphysical and one epistemological. The metaphysical component is the claim that there exists a"real world," that is, an objective, mind-independent, physical reality. The epistemological component is the claim that we can know something about this mind-independent realm. Obviously the epistemological claim presupposes the metaphysical claim. Now the Nyāya view is clearly realist in the epistemological sense: indeed the Nyāya knowability thesis might be seen as an extreme version of epistemological realism. But are Naiyāyikas truly realists in the metaphysical sense, given their denial of the unknowable and unnameable?

Traditional Western philosophical realism has insisted on preserving a gap between ontology and epistemology in order to allow for the possibility that there may very well be truths about reality that humans will never know. To suppose otherwise, it is feared, would be to collapse the distinction between fact and cognition. From this traditional perspective it is tempting to conclude that the Nyāya knowability thesis is a form of metaphysical antireal ism. But arguably there are actually a number of varieties of metaphysical realism, distinguished according to how we draw the fact/cognition distinction.

Nicholas Rescher has usefully suggested that one way we can attenuate the fact/ cognition distinction is by liberalizing cognizers. He asks us to consider the following series. *For something to be a fact it is necessary that it be knowable by,*

(1) *Oneself.*

(2) *One's contemporary (human) fellow inquirers.*
(3) *Us humans (at large and in the long run).*
(4) *Some actual species of intelligent creatures.*
(5) *Some physically realisable (though not necessarily actual) type of intelligent being— creatures conceivably endowed with cognitive resources far beyond our feeble human powers.*
(6) *An omniscient being (i.e. God).*[13]

Rescher suggests that no "*sensible* idealist maintains a position as strong as (1)," and no "*sensible* realist denies a position as weak as (6)."[14] What is in dispute is where to draw the line that marks the realism/idealism boundary. This suggestion would mean that the Nyāya commitment to divine knowability (equivalent to (6) above) is comfortably compatible with a "sensible" realism. What is more problematic is whether the Nyāya commitment to human knowability (equivalent to (3) above) is to be counted as realist. Rescher's own view is that (5) marks the idealist line: a realist is one who draws the line short of that. Nagel refuses to count advocates of (3) as genuine realists, though Rescher counts them as "*homo mensura* realists" who confine the real to what humans can, in principle, know. Thus, as Nagel counts realists, Nyāya is not among their number, but as Rescher (more permissively) counts realists, Nyāya is among their number.

Nothing substantive, of course, turns on which terminology we use to classify the Nyāya position, though it is useful to see why there might be some dispute as to whether Nyāya is properly described as realism. The substantive issue is whether (3) above is true: is it really the case that everything is humanly knowable, as Nyāya apparently supposes? I want to argue that, given certain plausible assumptions, the human knowability thesis is demonstrably false.

II

Let us begin by restating the relevant Nyāya commitments more formally. Consider first the following pair of theses:

Human Knowability: All truths are knowable by humans.

Human Knownness: All truths are known by humans.

Although Naiyāyikas are committed to the former thesis, they are far too sensible to be committed to the latter. Not only is human knownness not directly entailed by human knowability, but the thesis of human knownness is blatantly false. Instead Nyāya *affirms* human knowability and *denies* human knownness. Let us symbolize these two Nyāya theses thus:

T_1: $p \rightarrow \Diamond Kp$.
T_2: $\sim(p \rightarrow Kp)$.

But, given a couple of plausible assumptions, we now can show that the conjunction of these two theses is inconsistent, utilizing a proof first published by Frederic Fitch.[15]

The extra assumptions we need are two widely accepted principles of epistemic logic:

A_1: $Kp \rightarrow p$.
A_2: $K(p \& q) \rightarrow Kp \& Kq$.

The first assumption tells us that what is known is true. The second assumption tells us knowledge distributes over conjunction: if I know p and q, then I know p and I know q.

Consider again thesis T_2 (the negation of human knownness). If this thesis is true, then there is some truth p which is not humanly known. Symbolize this claim as "$p \& \sim Kp$" (which is, of course, just logically equivalent to "$\sim(p \rightarrow Kp)$"—i.e., T_2).

Now the *reductio* proof of the inconsistency of the premise set $\{T_1, T_2, A_1, A_2\}$ goes through as follows:

(1) $p \& \sim Kp$ From T_2

(2) $\Diamond K(p \& \sim Kp)$ From (1) & T_1

(3) $\Diamond (Kp \& K\sim Kp)$ From (2) & A_2

(4) $\Diamond$ (Kp & ~Kp)   From (3) & A$_1$

Since (4) is a contradiction, we know that at least one of our original assumptions is false. A$_1$ and A$_2$ are both uncontroversial principles of epistemic logic. T$_2$ is obviously true. Hence the conclusion to be drawn is that T$_1$ is false; that is, it is not the case that all truths are knowable by humans.

It may be objected that the argument above utilizes anachronistic logical assumptions. True, Nyāya explicitly embraces the principle of noncontradiction.[16] And perhaps the two principles of epistemic logic are plausible enough. But the proof uses the modal notion of logical possibility, even though Indian logic recognizes no such notion of modality.

It is unclear that this objection is at all successful. First, even if the classical Indian philosophers did not have our modern notion of logical possibility, it is still an open question how far their views can be reconstructed in terms of such a modality. (Indian logic does, for instance, recognize linguistic truths that may be interpreted as analytic: for example,"An x which is F is F.") Second, classical Nyāya does at least seem to be committed to something like Diodorean modalities, that is, an understanding of possibility and necessity such that to say that something is possible is to say that it obtains at some time or other, and to say that it is necessary is to say that it obtains at every time.[17] This is arguably implicit in the standard formulation in Indian logic of the"necessary" relation of pervasion *(vyāpti)*, which requires that for fire to pervade smoke it is never the case that in all those loci where smoke is present fire is absent.

Suppose, then, that we reconstrue the human knowability thesis not in terms of the logical possibility of such knowledge, but rather in terms of the Diodorean possibility of such knowledge; that is, to say that all truths are humanly knowable is just to say that all truths are humanly *known at some time*. Symbolize such a Diodorean possibility operator as"S," read as"At some time," and replace T$_1$ by:

T$_3$: p $\rightarrow$ SKp.

Obviously the first proof will now not go through exactly as before. But we can still prove the inconsistency of the new premise set $\{T_2, T_3, A_1, A_2\}$ as follows:

(5) p & ~Kp   From T_2

(6) SK(p & ~Kp)   From (5) & T_3

(7) S(Kp & K~Kp)   From (6) & A_2

(8) S(Kp & ~Kp)   From (7) & A_1

But (8) is also a contradiction. So once again at least one of our original assumptions is false, and it seems that this time T_3 is the most likely candidate. In other words, it is not even the case that at some time or other all truths are known by humans.

It seems, then, that the human knowability thesis is demonstrably false. Contrary to the familiar Nyāya slogan, it is not the case that whatever exists is knowable and nameable.

III

Is there any way out for Nyāya? There are at least two possibilities that merit further investigation. The first involves a challenge to the validity of my arguments against the knowability thesis; the second involves a challenge to my interpretation of the Nyāya knowability thesis. Let us take them in turn.

Timothy Williamson has pointed out that the Fitch-style proofs fail if we assume an intuitionist logic that denies the law of double negation, that is, the equivalence of ~~p and p.[18] Intuitionists admit that p implies ~~p, but not that ~~p implies p. They avoid an infinite series, however, by admitting the equivalence of ~p and ~~~p. Now the first proof above requires that (T_2) entails (1), and the second proof requires that (T_2) entails (5). But in intuitionist logic (T_2) only entails the double negation ~~(p & ~Kp), and negation elimination is problematic.

Of course, even if it is true that the Fitch proofs are invalid given intuitionist principles, this alone still gives us no motivation to adopt

intuitionism unless we are already independently convinced of the truth of the thesis of human knowability. Since this thesis is not itself obviously true, invoking intuitionism just to save it would seem unsatisfactorily ad hoc. However, if instead it was true that Nyāya had good independent reasons for denying the law of double negation, then there would be no problem with thus blocking the two arguments above.

An obvious difficulty with such a strategy is that Old Nyāya is usually thought to have *affirmed* the law of double negation: in Udayana's words,"The negation of the negation of *x* is identical with *x*."[19] Moreover, at least the more traditional wing of Navya-Nyāya, from Gaṅgeśa on, follows suit. The radical Navya-Naiyāyika Raghunātha Śiromaṇi, however, famously holds otherwise.[20] According to Raghunātha, the absence of an absence of *x* is not *x*, but a new category. He then avoids a regress by holding that a triple absence (absence of absence of absence of *x*) is essentially identical with the first absence. Daniel Ingalls has noted the apparent parallel here with the intuitionists' view that ~~p does not imply p, though ~~~p does imply ~p.[21] But is the parallel significant enough to provide any support for a Nyāya-style intuitionism that would block the Fitch proofs and save the knowability thesis?

The Navya-Nyāya understanding of negation is a complex issue, which I forbear from attempting to discuss in any detail here.[22] Very briefly, then, Navya-Nyāya distinguishes between two kinds of negation: absence *(atyantābhāva)* and difference *(anyonyābhāva)*.[23] Sentential negation is usually avoided in favor of something closer to (though not quite identical with) term negation. More precisely, according to Nyāya, what is negated is the second term of a dyadic relation *as the second term of that relation*. We get an *absence* when it is a negation of occurrence or location, and a *difference* when it is a negation of identity.

When a negation negates occurrence or location, it is construed as ascribing the absence of a property to that locus. The statement"The pot is not blue," for example, is analyzed as"The pot has an absence of blue-color." When a statement negates an identity between, say, a table and a cup, then it is analyzed as"A table is different from a cup," which in turn is analyzed as"A table lacks cupness." In other words, there is an extensional equivalence between"difference from a cup" and"absence of cupness" since both these properties are locatable in the very same set of loci.

Combining these two kinds of negation gives us different versions of double negation, and Navya-Naiyāyikas broadly agree on the status of most of them.[24] The controversial one that concerns us here, however, is the combination of two absences, namely the question of whether the absence of the absence of *x* is identical with *x*. Most Navya-Naiyāyikas affirm this identity, arguing as follows. Whenever we perceive the presence of an object (say, a pot) we do not perceive the absence of a pot in the same locus, and vice versa. Hence we must admit that there is the absence of the absence of a pot there, for the class of loci of the pot is identical with the class of loci of the absence of the absence of the pot. Symbolizing absence *(atyantābhāva)* by "~," we can state the majority Navya-Nyāya opinion thus: $\sim\sim x = x$.

Raghunātha dissents from this orthodoxy. He argues that the notion of negation conveyed by $\sim\sim x$ can never be conveyed by *x*. All absences share a common property: *the property of being an absence (abhāvatva)*. It is in terms of this unanalyzable imposed property of all absences that an absence is to be distinguished from a positive entity. Hence an absence of an absence of *x* cannot be the same as *x* if *x* is a positive entity. In other words, Raghunātha denies double negation in such cases and affirms: $\sim\sim x \neq x$. However, to block an infinite regress of absences he still affirms double negation in the case of a triple absence, that is, $\sim\sim\sim x = \sim x$. This is the Navya-Nyāya thesis that apparently parallels the intuitionist view that $\sim\sim p$ does not imply p though $\sim\sim\sim p$ does imply $\sim p$.

This difference of opinion between Raghunātha and fellow Navya-Naiyāyikas is an interesting and real one, but the contrast between the two camps can easily be overdrawn. Raghunātha is stressing a cognitive, difference between two modes of presentation rather than a difference in referent. That is, in the case of the presentation of the property *x* by "*x*," the *x* is presented under the mode of *x*-ness; in the case of the presentation by "$\sim\sim x$," the same *x* is presented under the mode of being $\sim\sim x$. However, both "*x*" and "$\sim\sim x$" refer to the same object, though under different modes of presentation. There is an *extensional* identity between the presence and absence ranges of the property *x*, but *intensionally x* and the absence of the absence of *x* are distinguishable.

What do we learn from this brief excursus into Navya-Nyāya? First, that the Navya-Nyāya denial of double negation that apparently parallels intuitionism is very much a minority view within Nyāya, associated

primarily with Raghunātha.[25] It cannot be properly represented as *the* Nyāya view. Second, once we contextualize the Navya-Nyāya thesis that apparently parallels the intuitionist denial of double negation, we see that the surface similarity does not go very deep. In other words, the very special sense in which Raghunātha denies double negation provides no support for the hope of a genuinely Nyāya-style intuitionism that would block the Fitch proofs and save the knowability thesis. I reaffirm, then, my original conclusion: given certain plausible assumptions, the human knowability thesis is demonstrably false. Contrary to the familiar Nyāya slogan, it is not the case that whatever exists is knowable and nameable.

IV

There is, however, a second possibility still to consider: namely, the proposal that even if the human knowability thesis as *I have construed it* is demonstrably false, Nyāya is really only committed to a much weaker thesis. The suggestion here is that the Nyāya version of the human knowability thesis has to be understood in terms of the Nyāya theory of *sāmānyalakṣaṇa-sannikarṣa*, that is, the Nyāya claim that there is a kind of"extraordinary" *(alaukika)* perception of a universal characterizing all members of a class, one of whose members is presented.[26] Naiyāyikas posit such extraordinary perception in order to explain how we can know the truth of those universal judgments (like"All smoky things are fiery") that underpin all inductive inferences. Viśvanātha presents the Nyāya position in his *Siddhāntamuktāvalī* thus:

> [W]here smoke or the like is connected with the [sense] organ, and the knowledge that it is smoke has arisen, with smoke as its substantive, in that knowledge smokehood is a feature. And through that smokehood as the connection, there arises the knowledge"cases of smoke" comprising all smoke.[27]

In other words, when we perceive individual smokes and fires we also perceive the universals *smokeness* and *fireness* inhering in them. Through this sense contact with smokeness and fireness, which are generic properties equally shared by all cases of smoke and fire, we can in turn (nonsensuously) perceive all cases of smoke and of fire. Thus, the universal

concomitance of smoke and fire is established through an "extraordinary" perception of the whole class of smoke-possessing things as related to fire. To the objection that this alleged kind of perception would entail omniscience the reply is that, though we can perceive all objects of knowledge comprehended under a generic character, they are not thereby known in detail and we cannot perceive their mutual differences.

Applying this to the human knowability thesis, then, it is possible to argue that Nyāya does not really claim that humans can *fully* know each and every thing. However, humans can know everything in a *generic* way if they cognize existence in an object. Thus, if we understand the Nyāya version of the human knowability thesis against the background of their *sāmānyalakṣaṇa-sannikarṣa* theory, there need be no contradiction in asserting that something is both known and not known: it is known in a generic way, but not in a fully specific way. In other words, the object is known generically as an entity or *padārtha*, but it is not known specifically as what it is as distinct from other objects. Similarly, consider again the distribution rule for knowledge:

A_2: $K(p \& q) \rightarrow Kp \& Kq$.

This may not hold good with respect to *sāmānyalakṣaṇa-sannikarṣa* if "Kp & Kq" implies the ability to discriminate p from q.

This interpretive proposal suggests that we need to distinguish two senses of "knowledge": generic knowledge and fully specific knowledge. Call these, respectively, *weak knowledge* and *strong knowledge*. Obviously the possibility of these two kinds of knowledge also implies the possibility of four corresponding kinds of human knowability or knownness. This enables us to distinguish the following four theses for consideration:

Strong Human Knowability: Whatever exists is strongly knowable by humans.
Weak Human Knowability: Whatever exists is weakly knowable by humans.
Strong Human Knownness: Whatever exists is strongly known by humans.
Weak Human Knownness: Whatever exists is weakly known by humans.

With these distinctions in mind, we can now restate the Nyāya position according to the interpretive proposal before us. With respect to

knowability: it is now claimed that Nyāya *does* affirm weak human knowability, but does *not* affirm strong human knowability. With respect to knownness: it is now claimed that Nyāya *denies* strong human knownness, but affirms weak human knownness (since weakly knowing any existent means we know generically all existents).

In reply to all this I want to make several points. First, the Nyāya knowability thesis thus interpreted is certainly a much less exciting and challenging thesis than the one that many commentators have taken Nyāya to be affirming. (Recall the passage from Sadananda Bhaduri that I quoted earlier, expressing his enthusiasm for what he took to be Nyāya-Vaisesika's refusal"to give quarter to any form of agnosticism" with its affirmation of the claim that reality is"capable of being fully known by means of the resources given to the human mind" [my emphasis].)

Second, it is hard to see how such weak knowability of the categories could guarantee the possibility of the (presumably) strong knowledge of the categories that Prasastapāda promises is the means to liberation. For since weakly knowing any existent means we know generically all existents, all knowers already have weak knowledge of the categories—apparently without thereby being any closer to liberation. So it must be strong knowledge of the *padārthas* that is required for liberation. But whereas the truth of the strong knowability thesis would imply the availability to humans of the means of liberation, the truth of weak knowability can offer no such comfort to the unliberated—which was presumably at least part of the motivation for the Nyāya knowability thesis in the first place.

Third, the proposal explicitly appeals to the *sāmānyalakṣaṇa-sannikarṣa* theory. But there is considerable controversy among Naiyāyikas as to the acceptability of that theory. The very earliest Nyāya texts do not even mention this kind of extraordinary perception, though the theory is mentioned positively in various Old Nyāya texts, notably the *Nyāyamañjari* of Jayanta Bhatta. It is Gaṅgeśa, however, who is usually credited with the most explicit development of the distinction between ordinary and extraordinary perception, and some of his enormous personal prestige correspondingly attaches to the theory. But there are also some very distinguished Naiyāyika dissenters: within Old Nyāya, for instance, Vācaspati Misra rejected the *sāmānyalakṣaṇa-sannikarṣa* theory; and within Navya-Nyāya, so, too, did both Maṇikaṇṭha Miśra and Raghunātha Śiromaṇi.[28] The weak human knowability thesis cannot, then, pretend to be

an interpretation of the traditional Nyāya doctrine of knowability that would be acceptable to *all* Naiyāyikas.

Finally, perhaps it is true that the thesis of weak human knowability is not vulnerable to the Fitch proofs in the way that strong human knowability is. But the thesis does require a commitment to the controversial *sāmānyalakṣaṇa-sannikarṣa* theory, and this theory is not universally accepted by Naiyāyikas precisely because it seems to some of them just as philosophically implausible as it does to, for instance, their Advaitin opponents (not to mention most modern Western philosophers). When we perceive a particular pot are we really aware not only of the presence of the universal potness in it, but also (generically) of the class of *all* pots? It is by no means clear that positing this kind of extraordinary perception is the only way we can justify universal judgments, and in the absence of any other supporting argument the theory seems to many to be just plain implausible.

Thus this second possible way out for Nyāya also seems to fail. Understanding the traditional Nyāya knowability thesis as merely being weak human knowability both gives us a version that is too weak to do the work the doctrine was originally supposed to do and commits Nyāya to the existence of a type of extraordinary perception unacceptable to many within the Nyāya camp (and to even more outside it). True, weak human knowability may not be demonstrably false in quite the same way that strong human knowability is. However, the philosophical costs to the Naiyāyika of accepting it in place of strong knowability seem prohibitive.

Naiyāyikas face, then, something of a dilemma—or, as it is called in Indian logic, a "double noose" *(ubhayataḥpāśā)*. On the one hand, if they hold that whatever exists is strongly knowable, then (given certain plausible assumptions) their thesis is demonstrably false. On the other hand, if they hold that whatever exists is only weakly knowable, then they are committed to a theory that is both implausible and too weak for their original purposes. Either way, the traditional Nyāya doctrine that whatever exists is knowable and nameable must be judged rationally unacceptable.

Notes

For assistance, both philosophical and bibliographical, I am grateful to Graham Oddie, Jay Shaw, Mark Siderits, and the late Richard Sylvan (né Routley).

1 – *Padārthadharmasaṃgraha* III.11; for a different translation (by Ganganatha Jha), see Sarvepalli Radhakrishnan and Charles A. Moore, eds., *A Source Book in Indian Philosophy* (Princeton: Princeton University Press, 1957), p. 399.

2 – Two very helpful philosophical discussions of the doctrine are: Karl Potter, "*Astitva Jñeyatva Abhidheyetva,*" *Wiener Zeitschrift für die Kunde Süd- und Ostasiens und Archiv für Indische Philosophie* 12–13 (1968): 275–280, and J. L. Shaw, "The Nyāya on Existence, Knowability and Nameability" *Journal of Indian Philosophy* 5 (1978): 255–266. For something of the broader historical context, see Wilhelm Halbfass, *On Being and What There Is: Classical Vaiśeṣika and the History of Indian Ontology* (Albany: State University of New York Press, 1992).

3 – For some of the details of this translational strategy and the Indian Buddhist philosophers' objections to it, see, *inter alia:* Bimal Krishna Matilal, "Reference and Existence in Nyāya and Buddhist Logic," *Journal of Indian Philosophy* 1 (1970): 83–110; J. L. Shaw, "Empty Terms: The Nyāya and the Buddhists," *Journal of Indian Philosophy* 2 (1974): 332–343; Mark Siderits, *Indian Philosophy of Language* (Dordrecht: Kluwer, 1991), chap. 4; Arindam Chakrabarti, *Denying Existence* (Dordrecht: Kluwer, 1997), pp. 211 –245.

4 – *Bhāṣā-Pariccheda with Siddhānta-Muktāvalī by Viśvanātha Nyāya-Pañcānana*, trans. Swāmī Mādhavānanda, 3d ed. (Calcutta: Advaita Ashrama, 1977), p. 19.

5 – See John Vattanky, *Development of Nyāya Theism* (New Delhi: Intercultural Publications, 1993).

6 – Radhakrishnan and Moore, *Source Book*, pp. 397–398.

7 – Sadananda Bhaduri, *Studies in Nyāya-Vaiśeṣika Metaphysics*, 2d ed. (Poona: Bhandarkar Oriental Research Institute, 1975), p. 10.

8 – Cf. Jitendra Nath Mohanty, *Reason and Tradition in Indian Thought* (Oxford: Clarendon Press, 1992), p. 251: "The Indian philosophers … cannot distinguish between *de re* and *de dicto* knowledge. All knowledge is *de re*."

9 – On these Navya-Nyāya doctrines see Sibajiban Bhattacharyya, *Gaṅgeśa's Theory of Indeterminate Perception* (New Delhi: Indian Council of Philosophical Research, 1993); Bimal Krishna Matilal, "Awareness and Meaning in Navya-Nyāya," in B. K. Matilal and J. L. Shaw, eds., *Analytical Philosophy in Comparative Perspective* (Dordrecht: D. Reidel, 1985); Stephen H. Phillips, *Classical Indian Metaphysics* (Chicago: Open Court, 1995), chap. 4.

10 – Charles Sanders Peirce, *Collected Papers* (Cambridge: Harvard University Press, 1965), 5.257.

11 – Michael Dummett, *Truth and Other Enigmas* (London: Duckworth, 1978), p. 16.

12 – Thomas Nagel, *The View from Nowhere* (New York: Oxford University Press, 1986), p. 90.

13 – Nicholas Rescher, *Scientific Realism: A Critical Reappraisal* (Dordrecht: D. Reidel, 1987), p. 152.

14 – Ibid.

15 – The proof utilized here was first published in Frederic B. Fitch, "A Logical Analysis of Some Value Concepts," *Journal of Symbolic Logic* 28 (1963): 135–142, though Fitch acknowledges there his own debt to an anonymous referee. The epistemological significance of the proof was

subsequently reaffirmed in W. D. Hart,"The Epistemology of Abstract Objects," *Proceedings of the Aristotelian Society Supplementary Volume* 53 (1979): 153–165. For further discussion and references see Roy A. Sorensen, *Blindspots* (Oxford: Clarendon Press, 1988), pp. 121–129. I first learned of the Fitch proofs from the late Richard Sylvan (né Routley) through his (unpublished?) paper,"On Idealism: Its Perennial Message, Its Persistent Misrepresentation, Its Perceived Mistakes," to which I am here indebted. See also Richard Routley,"Necessary Limits to Knowledge: Unknowable Truths," in Edgar Morscher et al., eds., *Philosophie als Wissenschaft: Paul Weingartner Gewidmet? Essays in Scientific Philosophy: Dedicated to Paul Weingartner* (Bad Reichenhall: Comes, 1981).

16 – Cf. Udayana's *Nyāyakusumāñjali* 3.8:"And there cannot be also unity of two contradictories, for the mere statements of them will cancel each other" (as quoted in Bimal Krishna Matilal, *Nyāya-Vaiśeṣika* [Wiesbaden: Otto Harrassowitz, 1977], p. 97).

17 – On such modalities see Arthur Prior,"Diodorean Modalities," *Philosophical Quarterly* 5 (1955): 205–213.

18 – T. Williamson,"Intuitionism Disproved?" *Analysis* 42 (1982): 203–207.

19 – *Nyāyakusumāñjali* 3.2, as quoted in Bimal Krishna Matilal, *Logic, Language and Reality* (Delhi: Motilal Banarsidass, 1985), p. 148.

20 – See Karl H. Potter, *The Padārthatattvanirūpaṇam of Raghunātha Śiromaṇi* (Cambridge: Harvard University Press, 1957), p. 69.

21 – Daniel H. H. Ingalls, *Materials for the Study of Navya-Nyāya Logic* (Cambridge: Harvard University Press, 1951), p. 68 n.

22 – Good discussions of this topic are to be found in Bimal Krishna Matilal, *The Navya-Nyāya Doctrine of Negation* (Cambridge: Harvard University Press, 1968), and J. L. Shaw,"The Nyāya on Cognition and Negation," *Journal of Indian Philosophy* 8 (1980): 279–302.

23 – Strictly speaking, Navya-Nyāya recognizes two broad types of negation: what Ingalls calls"mutual absences" (*anyonyābhāva* ="differences") and"relational absences" *(saṃsargābhāva)* (Ingalls, *Materials for the Study of Navya-Nyāya Logic*, p. 54). The latter type is then divided into three subtypes:"prior absences" *(prāg-abhāva)*,"posterior absences" *(dhvaṃsābhāva)*, and"constant absences" *(atyantābhāva)*. Since it is only the third of these three subtypes that concerns us here, I shall reserve the term"absence" for it alone.

24 – For more on the details of double negation in Navya-Nyāya see: Matilal, *Logic, Language and Reality*, chap. 2.6, and J. L. Shaw,"The Nyāya on Double Negation," *Notre Dame Journal of Formal Logic* 29 (1988): 139–154.

25 – Indeed, elsewhere in his writings Raghunātha himself takes the orthodox line that an absolute absence of an absolute absence of *x* is the same thing as *x*: see Karl H. Potter and Sibajiban Bhattacharyya, eds., *Indian Philosophical Analysis: Nyāya-Vaiśeṣika from Gaṅgeśa to Raghunātha Śiromaṇi* (Princeton: Princeton University Press, 1992), p. 47.

26 – I owe this suggestion to Jay Shaw.

27 – Mādhavānanda, *Bhāṣā-Pariccheda with Siddhānta-Muktāvalī*, p. 100.

28 – Matilal, *Nyāya-Vaiśeṣika*, p. 102; Potter and Bhattacharyya, *Indian Philosophical Analysis*, pp. 61–62.

On Knowing by Being Told

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I

   Words are sometimes said to clothe our thoughts and beliefs. But, like some clothes, they usually reveal more than they conceal, often imposing shapes on our ideas which they might have lacked in their naked state. Beliefs put on the dress of language not only when they are exhibited but also when they travel from one person to another. Perhaps this whole sartorial imagery is wrongheaded. The very notion of beliefs or awareness episodes in their prelinguistic nudity may be a myth.

   However, while enough attention has been paid by recent philosophy to the phenomenon of expressing or displaying our thoughts, beliefs, or pieces of knowledge through our utterances, the major role of language in instilling information, in causing people to have true thoughts, and in generating knowledge has remained relatively neglected. Too busy with explaining *exhibition*, we seem to have forgotten about the *transmission* of knowledge through the medium of speech. Yet, as has been realized and elaborately articulated by Indian philosophers well over a thousand years ago, true utterances in a certain language are not only *caused by* pieces of knowledge acquired by the sincere and competent speaker but can themselves, in their turn, *cause* genuine knowledge in the unsuspecting audience that is trained in that language. Reading books or newspapers, listening to experts' lectures or radio reports, or checking with parents or eyewitnesses, we come by such important pieces of knowledge as the knowledge that each cell in my body contains twenty-three pairs of chromosomes, that the forest fire in Yellowstone National Park is spreading, or that I was born in September. Some of these pieces of information could

have been obtained by some of us *perceptually* or *inferentially* but all of them may actually be learned from verbal testimony. As H. H. Price pointed out, we not only have to take on trust such facts as how old each of us is, but even our knowledge of what day or date or year it is today is based on the evidence of testimony. Due to the increasing sophistication of the specialized branches of science and technology, we have to swallow more and more information from reliable say-so rather than try to obtain firsthand inferential or directly perceptual knowledge of most facts about the world or know-how about machines. Yet, even now the proposal to count testimony as an independent avenue of knowledge on a par with but not reducible to perception, inference, or memory seems to smack of dogmatism or gullibility.

Until recently, it counted as a standard complaint against some classical Indian theories of knowledge that they recognize "Report of the Reliable" as an accredited source of or evidence for knowledge. After the great 'linguistic turn' took place in the West, comparative philosophers, who used to feel apologetic about the otherwise hardheaded Nyāya philosophy's concern with word-generated knowledge, started defensively to discover echoes and anticipations of contemporary issues in the elaborate ancient and medieval discussions by Indian philosophers on themes like the meanings of words, sentences, quantifiers, pronouns, proper names, negatives, imperatives, and so on. The sheer opulence of dialectical materials and well-worked-out insights—on issues like the meanings of empty subject-terms, of existence denials, sentence-holism versus word-atomism, secondary (or metaphorical) versus literal (or first) meaning, the role of the speaker's intention in meaning-determination, and so on— sometimes dazzled our eyes. Far too many resonances were traced, rather stretched anticipations were highlighted, and momentous distinctions were slurred over. Among the many confusions (naturally and productively paving the way to clarifications!) that have arisen out of these reinterpretations of classical Indian epistemology and philosophy of language in the contemporary philosophical idiom, haziness about the concept of *word-generated awareness* (*śābdabodha*) is an important one.

The Sanskrit word *bodha* is derived from the same root as *buddhi*, which is announced to be synonymous, at least in the relevant philosophical tradition, with other words like *jñāna* or *upaiabdhi*, which mean (usually episodic) "awareness," "cognition," "or apprehension." Interestingly, in

modern regional Indian languages, *bodha* sometimes means "understanding" or "grasp of meaning." Hence the natural tendency to interpret *śābdabodha* (where *śābda* means "caused by *śābda* or word") as "understanding of a sentence." But as we look carefully in the literature, we find that what in Western philosophy (and common English) is meant by "understanding of a sentence" is quite different from what in Nyāya philosophy goes by the name of "the awareness generated by the sentence" (alternatively called "awareness of the *relatedness* of the meanings of the individual words in the speaker-intended order"). The point I am making may sound initially to be only terminological. When upon hearing you say that p, I come to know that it is the case that p—I am having word-generated knowledge that p. But this knowledge is by no means describable as my *understanding* of your utterance "P." My understanding of your utterance consists of my knowledge *of* what you mean to say, whereas my word-generated knowledge consists of my knowledge *that* what you say is in fact the case. However, the phrase "knowledge of what you mean to say" can be misleading. That is why, once this terminological confusion is clarified, the issue goes deeper. The more-or-less received wisdom of contemporary Western theory of language is that when a hearer listens to the utterance of a sentence "S" by a competent speaker, she *first* comes to recognize the force and content of the utterance (knows what speech act has been performed) and *then* goes on either to accept or to reject, that is, to believe or to disbelieve, the content. Let us roughly call this picture "Understanding followed by trust."

About both kinds of putatively speech-generated awareness—namely, *understanding* and *trust*—we could ask the following two questions: (1) Does it deserve the title of "knowledge"? and (2) Is it reducible to sense perception, inference, or memory, or is it a unique kind of knowledge?

But the most momentous contrast between the Western view above and the classical Indian (Nyāya) view of the matter lies in the tatter's tendency to reject the "understanding followed by trust" picture. If to understand your statement "Snow is white" is *not* to apprehend (with however shallow a conviction) that snow is white, then what is such understanding an apprehension *of*? The Nyāya—-like many contemporary philosophers—does not admit intentional entities like meanings, propositions, or Fregean senses. Unless we admit a beliefless noncommittal state of apprehension (which we might call "mere comprehension"), it becomes difficult to

answer this question without losing sight of the distinction between word-generated awareness (roughly, trust) and the so-called understanding. So, Nyāya regards the trusting reception of information as the primary cognitive attitude to meaningful, nonfictional, nonfigurative speech. I wish in this essay to address the following three issues.

(1) Is word-generated awareness (in the sense sketched above) classifiable as perception, memory, or inference?

(2) Does the Nyāya account of the content of word-generated awareness in the general terms of qualificand (subject) and qualifier (predicated property) *fail* to work in the case of sentences in the *nonindicative*—especially *imperative* or *optative*—mood?

(3) Is the Nyāya refusal to accept the "understanding followed by trust" picture based on a mistaken defense of gullibility?

My general thrust would be to try to gather arguments for a *negative* answer to all three questions. I discuss question (1) in sections II, III, V, VI, VII, and VIII. Question (2) is discussed briefly in section IV. Question (3) is discussed in the final section (IX).

II

One significant dictionary definition of the verb "to tell" is "to make known." Under normal circumstances S can make p known to H only if she herself knows that p. Hence, the idiom of *"transmission"* of knowledge. Through the words of a language, the same piece of information (something which will be captured by the Nyāya epistemologists as two or more knowledge episodes with *identical* content structure), as it were, travels from the honest, true-believing, generous speaker to the inquisitive hearer who has mastery over the language in question. This was once described by John McDowell as the phenomenon of contagion of knowledge:

> If someone knows that p and says that p, then typically someone who hears and understands him is in a position to know that p.[1]

Of course, not all telling is knowledge-generating. The speaker herself could be mistaken, she could lie, she could be joking, she could be telling

stories. That is why, when explaining the concept of a reliable authority, the "*āpta*", Vātsyāyana comments:

> By "*āpta*" is meant any informer who has himself somehow directly apprehended the matter and is impelled by a natural desire to communicate facts as he has found them…. This definition applies equally to sages who have had direct vision of truth, to Aryans, and to Mlechhas or heretics.[2]

Two things are to be noticed. First, it is not enough to know the truth. Someone may know the facts, but either because she lacks the desire to pass this knowledge on to others, or because she is too lazy to talk communicatively, or deliberately refrains from telling the truth, or because he has a perverse misanthropy in him, he or she may not tell the truth or state it otherwise. But as long as there is no reason to suspect such abnormal features as mistake, delusion, deception, or defective sensory mechanism, the speaker can conventionally be taken not only to be one who *expresses* his *purport* but also to be one who communicates *facts*, giving us not only a piece of his mind but a glimpse of the world as he has known it.

Second, this is not intended as a defense of overcredulousness. It might appear as if in emphasizing this knowledge-spreading function of speech we are about to forget the notoriety which 'rumor'—typically untrue information—has for its tendency to spread. The admission of words as a source of knowledge is no defense of overcredulousness or gullibility. It is just the robust recognition of the fact that without this straightforward and natural method of handing down knowledge through language, not only religion or common morality but even science or historiography would be impossible. It is not *in spite of*, but *because of* the progress of science that larger and larger amounts of findings, premises, theories, results of experiments, and technical know-how have to be taken on authority or learned directly from uttered or printed words. If each individual or generation had to perceive *directly*, verify inductively, or work out everything from scratch, then, as a famous Sanskrit couplet goes,

> This world would be immersed in total darkness of ignorance, deprived of the light which we call "speech."

Unfortunately, the so called communication-intention theorists of language use, in their enthusiasm to explain the more sophisticated manipulative use of speech to induce in the hearer appropriate beliefs regarding the speaker's intentions, have tended almost to ignore this basic knowledge-yielding employment of our linguistic repertoire. McDowell draws attention to this feature of communication by reminding us of the evolutionary survival value of the capacity of sentient creatures to spread important news in the most practical way by making significant noises. The alarm cries of some birds at the sight of a predator are surely not used just for the purpose of inducing in the hearer a recognition of the squawker's intention to alarm, but simply to pass on the beneficial results of one individual's perceptual data to other individuals. Of course, the ability to raise a false alarm, epitomized in the tragic fable of the shepherd boy who was taken to be a habitual liar, marks the characteristically human exploitation of language to cry "wolf" when there is none! Michael Dummett remarks somewhere that we fully master the practice of speech only when we can tell or suspect lies. Yet we must not lose our grip over the basic insight that, after all, words stand for objects, and assertions are primarily used to record facts, statements get their meanings from the standard practice of intending and taking them to be true, commands are intended to be obeyed, questions to be answered, and so on. Just as all pretense, mockery, impersonation, and deceit have to be parasitic on out-and-out, genuine, honest behavior, we cannot but take the truth-telling, knowledge-transmitting, information-instilling use as the standard use of language. When the real wolf comes, we have no other choice but to cry "wolf" again!

III

The following story of the genesis of a standard utterance is related by Mathuranatha (in the seventeenth century) at the beginning of his gloss on the fourth part of *Tattvacintāmaṇi*.

At first, the speaker comes to apprehend a certain state of affairs (which will eventually be the complex meant by the sentence). Then he becomes aware of his own awareness. Next he desires that another person should

also acquire such a piece of awareness. As he recognizes that the utterance of a certain sentence should produce this desired occurrent belief in the other person, he wishes to utter such a sentence. Realizing that the exercise of the appropriate vocal chord and other parts of the mouth, and so on is both within his powers and conducive to the fulfillment of this desire of uttering a sentence, he tries to perform those vocal and other phonetic acts whence the successive distinct acoustic events happen, and thus emerges that string of articulate sounds which we call the utterance of a sentence.[3]

The story on the receiving end runs somewhat as follows. Sometime earlier, the hearer had come to learn either spontaneously or by explicit training, a series of such meaning-rules of the form "From this *word* that *thing* is to be understood" (where *words* include nouns, verbs, participles, suffixes, verb inflectors, and so on, and *things* include particular substances, stances, qualities, relational properties, universals, actions and events, numbers, and so on) about all the individual words occurring in the sentence issued by the speaker. He must also have learned how, semantically, to encash features of the sentence like word order, implicit contextual factors (if any) such as may be needed to disambiguate equivocal expressions by determining the speaker's *intention* on that particular occasion, and he must have cultivated a general sense of what sorts of objective combinations of things, properties, and relations meant by the words are (or are not) *fit* to be entertained as actually obtaining. Now, as he hears these words, his episodic or dispositional memory of their individual meanings presents to him the meant items, first individually and then as held together. After he comes to hear the last phoneme, he apprehends the contiguity of the mutually relevant words, perceives their mutual syntactic, grammatical, and semantic dovetailing, believes or at least suspects the meant complex to be *fit* to be actual, and then firmly believes that those meant entities are in fact related to one another in the alleged order by the intended relation. If, in the actual world, the entities *are* so related the resulting belief amounts to knowledge; if not, it is an error.[4] In either case it is a special sort of belief or awareness which is obtained through listening (with comprehension) to the well-formed utterance of a communicative speaker. If, in answer to a self-enquiry or an epistemic challenge in the form "How did I/you know this?" or "Why do you believe this?" one must

reflectively offer an honest introspective report, the standard form that the report takes is "*I heard it*" or "*I was told*" (one never says, in such circumstances, "I guessed" or "I inferred"). Appeal to the reliability, sincerity, seriousness, and so on of the speaker and so on or any coherence criteria or pragmatic success and so on comes at a subsequent stage when, according to Nyāya, you are not justifying or giving evidence for *what* you know but justifying or giving evidence for the claim *that* you *know* it.

IV

There is one problem very likely to loom large in any project of interpreting traditional Indian materials in this area in the contemporary Western idiom: the problem of the cognitive content of nonindicative utterances. Imperative or optative sentences like "Bring the cow" or "Beat the cow with the stick" are given in Indian epistemology as illustrations of knowledge-generating utterances, quite indiscriminately along with straightforwardly indicative utterances like "Buffaloes are grazing by the side of the river" or mixed statements like "Here comes the son of the king; let the man be driven out of the way!" This juxtaposition of commands and assertions is by no means careless or accidental. There were other rival schools (apart from the Nyāya, upon which we are basing our account here) which regarded only religious and moral injunctions, hence utterances in the Imperative mood, to be knowledge-generating. Without going into intricate detail concerning their views about scriptural (Vedic) sentences, we can just note here that such imperatives were taken by them to be on the one hand uncaused or unuttered by any human or even divine author or speaker, and on the other hand conveying absolute obligatoriness of certain rituals or prohibitedness of certain actions. As such, these commands could not possibly be *false*, (or even true) nor could their content be known by any other direct means, for perception or generalization therefrom could hardly ever tell us what ought to be done in a deontological sense. Some modern interpreters of such classical Indian views have tended to think that it is the replaceability of testimonial evidence which makes it unworthy of epistemic prestige in the case of statements of fact, whereas in the case of categorical imperatives, its very irreplaceability makes testimony respectable as a source of knowledge of duty. What was novel and—in the

traditional Indian scene— courageous of Nyāya was to extend the domain of *śabda* (word) as a source of knowledge to ordinary matters of fact— flouting deliberately the stricture imposed by other schools of thought as to the assignment of specific sorts of knowables to specific ways of acquiring knowledge. You could come to know the same objects or same sorts of things through many alternative ways of knowing. One can come to know that there is fire on the hill by walking up to the hill and observing the fire for oneself, or from a distance infer it by seeing smoke, which one has ascertained first as an invariable mark of fire, or from trustfully understanding an eyewitness' utterances to that effect.

To come back to our original uneasiness about the informational content of commands or requests or moral injunctions: for one thing, we must notice that the verb "to tell" is also used most naturally in the context of an imperative utterance. Just as someone *tells me what happened*, someone *tells me what to do*, where to go, what to bring, and so on. So, somehow the notion of 'what is told' must include both states of affairs which can or cannot *be the case*, and actions which should or should not *be done*. The Nyāya theory of action has a general rule: from cognition flows desire, from desire volition, from volition effort, and from effort the actual performance of the action.

The standard case of action-motivating desire comes from a triple awareness: (a) awareness that performance of the action will produce desirable results, (b) awareness that it will not produce undesirable results strong enough to counterbalance the former, and (c) awareness that such an act is within the power of the actor. Now, when S tells H to "Bring the cow," what H learns immediately from the utterance is the following: the addressee (in this case H, reflexively identified as "I myself when the information is *received* and as "you" when it is *passed on*) has to be an agent of the act of bringing the cow. Since information or messages received from utterances must be capable of turning into knowledge— and knowledge is somehow essentially linked up with the *truth* of the content— the informational content must be such that it can be *true* (or false) on standard appropriate occasions. As we know from the now-notorious problems of the separation and marriage of the assertoric force from/with the neutral content, in the Western analytic tradition, the only form which is suitable to bear *truth* seems to be the indicative form; thus the embedded content even of imperatives had to be construed in the qualificand-qualifier

form, which is the Nyāya substitute for the Western subject-predicate form of "basic combination." Orders are not as such capable of being *true* or *false*, hence Dummett's suggestion that we modify their correctness condition as *obedience conditions*. So the troublesome bit, namely "*a* has to be *f*" or "make *a* become *f*," in our initial construal of the content of an imperative utterance is reparsed as a *kind* of predication, where the predicated property was not apprehended as already actually residing in the qualificand or subject, but as "intendedly residing" or "commandedly residing" therein. We must realize, of course, that for *f* to commandedly reside in *a, f* need not *somehow* actually reside in *a*; all it means is that *a is asked or desired to have f*. Hence the truth-biased reconstrual of the message passed on through "Bring the cow" runs as follows:

> The addressee is the seat of the commanded/desired agency, which is conducive to the action of bringing, which has the cow as an accusative.

To use Matilal's notation here, the content will look like this:

Q (you, Q (agency, Q (Bringing, Q (accusativeness, Cow))))

However, we must be cautious to interpret the *second* "Q" as standing for a special intentional qualification. It still remains difficult to imagine how the conditions of knowledgehood of the belief resulting from an imperative sentence will be enunciated upon this allegedly uniform account of meaning which somehow skirts the difficulties of the *sense and force* model. Obviously, it would be quite ludicrous to insist that for the command to be 'correct' (that is, for it to be knowledge-generating) the addressee should already *have* the agency toward the action which he is asked to do. No command to shut the door can be felicitously issued to one who has already shut it. Indeed, it is the *absence* of the agency to the action commanded which, normally, entitles the addressee to be asked to do it. But here, again, we seem to have missed the mark. We were not looking for the conditions under which there exists a *point* to issuing the command. The *point* of the utterance has to be distinguished from the *message* encoded in it. In this case, the message seems essentially to *involve* the idea of the addressee's being *required/desired/obligated* to perform an action. Hence the command is rightly understood if and only if one knows *what action the addressee is desired to perform*, which translates in the qualification idiom as: *of what speaker-desired action the hearer is to be an agent*. This is how, roughly,

uniformity of interpretation is achieved across indicative and imperative forms of utterances. When we come to think of it, we do quite naturally learn from 'instruction' (for example, "First remove lid, then unscrew handle…") in printed manuals without bothering to bring in the speaker. What knowledge do they generate in us? When I read *commands* (in a manual or on a computer screen), I know *that* I am supposed to remove the lid or press the "start" key. Quite straightforwardly I (the addressee) am the subject or qualificand and "being supposed to do this or that" is the predicate or qualifier. Thus the awareness generated by the imperatives doesn't have to bring in the speaker (there might be none) into the content.

V

With these preliminaries provisionally cleared up, we can now approach our central question: is verbal testimony an independent way of acquiring beliefs (which may turn out to be pieces of *knowledge*)? Gaṅgeśa (early fourteenth century), the father of the New Nyāya, rejects the suggestion that testimony is not a source of knowledge *at all* rather summarily with a quick pointer to a self-refutation. When the hypothetical discreditor of testimony *tells* us: "Words can never give us knowledge," how are we to take *that* statement? Do those words uttered by the antagonist of word-generated knowledge give us any knowledge? If they themselves do not convey any knowledge then the antagonist's statement is simply not *true*. If that statement is true, that is, if those words themselves convey knowledge, then words do, on this occasion at least, generate knowledge in us and hence the falsity of the antagonist's contention. There is a patent performative contradiction in stating in words that words can never arouse true beliefs. But such an easy victory was not to Gaṅgeśa's taste. So he considers the possibility that maybe those words of the skeptic or the heretic arouse in us a sort of inner mental awareness which can reveal the unreliability of directly word-generated beliefs without itself being such a directly word-generated belief. All we have to prove in order to evade self-refutation is that such a mental awareness is a kind of perception or inference rather than itself a piece of special testimonial knowledge. Thus the question whether testimony is *at all* an admissible avenue of knowledge eventually reduces to the question whether all alleged cases of knowledge by testimony are

reducible to cases of memory, perception, introspection, or inference. Before we take up this real issue of independence or irreducibility of testimony as it was discussed in late medieval *Indian* epistemology, let us look once more at the corresponding *Western* scene.

Hume was one of the few modern philosophers in this tradition to attempt a sustained account of knowledge from testimony, and his discussion in the section on *Miracles* in the *Enquiry* (section X) has since then come to be regarded as the standard take-off point. He does not dispute the fact which has been reemphasized in more recent times by J. L. Austin as follows:

> If asked, "How do you know the election is today?" I am apt to reply "I read it in *The Times*" and if asked "How do you know the Persians were defeated at the Marathon?" I am apt to reply "Herodotus expressly states that they were." In these cases 'know' is correctly used: we know 'at second hand' when we can cite an authority who was in a position to know (possible himself only at second hand). The statement of an authority makes me aware of something, enables me to know something, which I shouldn't otherwise have known. It is a source of knowledge.[5]

All that Hume insists is that our reliance on witnesses, historians, reporters, and experts is *derivative* of our reliance on inferences based on inductive generalizations from observations of constant co-occurrence. Thus the threat to testimony, even here, is the threat of *reduction* to inference or, more ambiguously, to customary observation or experience. But as Coady (1973) has ably argued,[6] Hume's program of reduction can be damaged by a destructive dilemma. When Hume argues that we trust others' words because *we* have, in the past, experienced them to be true, what does he mean by "our experience"? If he means the experience of a *single* person (namely, the one who draws this conclusion from an inductive generalization treating the words as inferential *signs* of the truth of the report), then the diagnosis is simply false because the range of observation of a single person hardly justifies any such claim to know such a general connection between assertions and facts. Simple reports like a letter from a friend which arrives by post and tells us that the friend is writing from thousands of miles away, could not be trusted with any degree of certainty if one had first to ascertain by observation all by oneself all the relevant

types of facts which are involved in the postal path of a letter arriving from a considerable distance. As we pass on to more specialized scientific information, the observational responsibilities implied by a plausible claim of an inductively acquired belief become too absurdly enormous to be discharged by a single individual with limited time, expertise, and cognitive equipment. The only other alternative is to include *others' experience*, or a communal notion of experience in the sense of "we have experienced in the past." But the moment we do that we are bound to beg the question about our trust in testimony because the only standard way we come to know of others' experiences at such a sophisticated level of confirmation requirement is to hear their avowal or verbal reports. So the Humean attempt to reduce testimony to empirical reasoning is either completely unrealistic or circular.

Another sphere where the role of testimony Is almost irreplaceable is our knowledge of the meanings of words. At the superficial level, we have no conceivable way of challenging the authority of dictionaries and our language teachers. To insist that one can "look up" the lexicon on one's own, or "observe" usage instead of relying on the instructor's words, would once again be circular, for the role of perception in such "looking up" or "seeing usage" is deceptive. What we are basically doing to know "what means what" is to place trust on the expert's or native user's explicit or implicit, formulated or contextual definitions of word meanings. At a deeper level, Putnam's notion of division of linguistic labor brings out clearly the role of testimony in language acquisition. When the chemist tells me with appropriate demonstration of a certain substance that "This is sodium sulfate," I immediately come to know what that term means. How? By testimonial evidence, to be sure! Such facts about *meaning* actually determine our knowledge of facts about the *world*, in ways much discussed by Quine, Davidson, and Putnam, and both sorts of facts are thus seen to be known through trustful or—more accurately—distrustless comprehension of the utterances of competent speakers. We do not have to establish the separate trustworthiness of the source; it is enough if no evidence to the contrary is already available. So, the question is not at all whether testimony is a source of knowledge. It is simply dishonest to doubt that. If fallibility of our sensory equipment does not tell against the reliability of perception, and the general skepticism about validity of inductive inferences can be met by a naturalistic or pragmatic response, it will be

sheer prejudicial use of double standards to refuse the title of knowledge to testimonial true beliefs on the ground that all understandable utterances *could* be generally false. Indeed, as we shall try to argue toward the end of this essay, understandable utterances *could not* be mostly or generally incorrect, and we must therefore suppose that testimonially acquired beliefs do merit as much general presumption of truth as do our direct reports of perception. So the question, to repeat, is not whether the words of others constitute a source of knowledge at all, but whether they constitute an *independent* source of knowledge.

VI

There was a school of classical Indian thought which did not recognize any other means of knowledge except sense perception. Naturally, they either had to reject most of our nonperceptual knowledge claims or somehow had to reduce them to perception. Now, the best way to classify our knowledge obtained from hearing and comprehending the true utterance of a generous, unsecretive, and competent speaker as perception is surely not to insist that, through the words, we actually see or touch or taste or smell the objects talked about physically. To listen to an account of any incident would then have to be something like the experience described by Aldous Huxley in *A Brave New World*, of watching a "Feelie" (where not only sight and sound but all of the five aspects of sense experience are reproduced). No ordinary contact between sense organs and the objects about which information is orally received could be postulated. Hence the perceptualist reductionists resort to the so-called extraordinary contact, called contact-through-memory-awareness (*jñāna-lakṣana-sannikarṣa*). It could be held that because, on some previous occasion or other, the hearer must have perceived individually the items or kinds of items talked about by the speaker, his memory of those objects (including substances, qualities, relations, and so on) aroused by the use of the relevant words serves to establish an extraordinary contact between his senses and those items themselves—and thus the communicative intent becomes perceptually presented to him by his listening to the utterance, given that he is semantically trained. Against this suggestion, at least three strong arguments have been given.

First, there is a phenomenological, introspective evidence to the effect that what we learn from a sentence is not immediately afterwards felt as something that we have seen, or directly perceived, but as something which we have "heard" in that special nonsensuous sense of hearing in which we hear messages rather than just noises. Although after some very lucid or vivid verbal explanations we make the remark "I see" or "I can almost feel it" (hence the analogy with that extraordinary type of perception of sandalwood as *looking* fragrant or that of a rotten pastry as *smelling* sour), our reception of verbally communicated information is not intuitively felt to be *direct* or *presentative* in nature. (Of course, it would be rash to conclude that since it is *indirect* it must be *inferential*, as Fricker [1987] seems to have done.)[7]

Second, the order or direction of qualification involved in the complex content of the qualificative awareness resulting from hearing a sentence is irreversibly determined by the word order and the nominal case endings and other inflective marks. Thus from an utterance of the sentence "the table is brown" we shall never have the awareness where the *color brown* figures as subject and *inhering in the table* figures as the qualifier. It has to be an awareness of the table qualified by the brown color. But the qualification structure would have been reversible as long as the fact captured remains the same, had the experience been *perceptual*. When I *see* that the cat is on the mat I can be correctly described to have seen that the mat is under the cat as well. Direct access gives us a freedom to rearrange my empirical content while testimonial knowledge remains bound to the order dictated by the words.

Third, once we rely on memory-assisted perception, we have to include in the content of our alleged testimonial knowledge all that I am reminded of by the utterance or at the time of listening to it. In perceptual experience, the subject is well known to be helplessly at the mercy of the senses, and when the links of stored past experience are added, the chances of being perceptually presented with data far exceeding the bare meaning of the utterance are very high. We might be reminded of some accidental feature of the speaker (that he is a Californian, or has blocked nostrils, for instance) by the special accent or tone which we cannot help hearing along with the utterance. If the utterance were "Oxford is a boring city," the resulting perceptual content would be something like the proposition that *a*

Californian believes that Oxford is a boring city. But that is not the word-generated belief that we wished to capture by the perceptual reduction.

Actually, perceiving the mere words never gives us the putatively *perceptual* knowledge of the reported fact. We have to be aware of the contiguity of the words uttered, their syntactical 'expecting' of each other, and their fitness to represent a situation which is not known to be nonactual, and so on, and if all these conditions are fulfilled, we need not construe the resulting knowledge as a memory-linked, extraordinary perception artificially confined only to the properly word-recalled objects, but can more parsimoniously and realistically admit that this was a noninferential, nonperceptual, word-generated awareness of the meant relation between just the meant entities—no more, no less.

VII

If it is not reducible to perception, then our putative knowledge from other's speech is even less likely to be regarded as a straightforward case of remembering. We can come to understand and have true beliefs about situations which we *never* witnessed perceptually before we heard the sentence which describes the situation. If testimonial knowledge were to be a subclass of memory cognition, then we could claim to be informed only by sentences which describe a state of affairs which we have, ourselves, directly experienced before. The whole point of telling others about places, subjects, events, and discoveries of which the listeners have no direct experience would be foiled.

VIII

We can now consider a few of the attempts to reduce word-generated awareness to inference. Two types of inferences have been proposed by the philosophers (Vaiśeṣika school) who try to subsume testimony under inference, namely, those which revolve around the words or the utterance itself and those which revolve around one or more of the *objects* whose mutual relatedness is asserted by the utterance and grasped by the audience.

To consider briefly the first sort of inferential reduction, suppose the sentence uttered is "That cow is white." The inferential reformulation of the knowledge generated by this cluster of words will run somewhat as follows. (We are following the Nyāya model of inference where there is a subject of inference, that is, *a place, pakṣa*, for example, a hill, in which a predicated property, *the inferable, śādhya*, for example, a fire, is established, via the presence of a sign, reason, middle term or *mark, hetu*, for example, smoke, which is known to be connected with the inferable by a relation of *pervasion, vyāpti*, or invariable unconditional concomitance.) The words "that," "cow," "is," and "white" (= the place) have the property of having been uttered due to or preceded by an awareness (in the speaker) of the purported relation between the purported qualificand and the purported qualifier (= the inferable), because they constitute a string of words connected to each other by syntactic and semantic expectancy and compatibility of meanings, and so on (= the mark).

But even if the inference goes through, it only makes us know, if anything at all, the fact that the speaker himself, before uttering the sentence, must have believed that such and such is the case (that the cow is white). How does that generate in the hearer the same belief?

For one thing, the features of a sentence which serve as the "mark" of an inference—like contiguity and expectancy of words, fitness of the meant complex of entities, and so on—must be *known* and firmly believed in, in order that the inference can be epistemically effective. We never arrive at the conclusion of an inference from a shaky awareness of the reason, ground, or mark. Yet it is well-established that we do not have to be certain about the mutual expectancy of the words; it is enough if they, *in fact*, have that feature. We definitely do not need to have a prior firm belief in the factual fitness of the meant content in order to acquire knowledge from the utterance of the words. It is enough if we can entertain the possibility of the individual meanings of the constituent words to be factually combined. (We do not receive any information, even doubtfully, from a sentence like "Mrs. Thatcher had three wives," because we have a firm belief in the *unfitness* of the content.)

The preceding inferential reconstrual, therefore, in a way yields a belief with both *more* and *less* content than the belief which it was expected to account for. It is richer in content than the alleged testimonial knowledge because it is a belief about the speaker's belief and not about a cow, which

is what the disputed testimonial knowledge is about. Each time S utters the sentence "a is f," S does not manage to or want to *say* that S believes that a is f. The latter involves references to S and S's mental states (its belief) besides a and f. Gaṅgeśa at this point anticipates the problem of referential opacity of intentional contexts and says that we *cannot* argue at this point that, after all, in knowing S's belief about a's being f we also come to know that a is f. This may seem to be the requirement if one follows *blindly* the Nyāya account of the causal mechanism of all multiply qualificative cognition. We could not be aware of a multiply complex qualificative content, for example, Q (Q (A, f), Q (B, G)), unless we are first aware of each embedded qualified qualificand and qualifier. Unless you believe that the stick is red you cannot come to believe that the man is carrying a red stick. Similarly, if you read, as Nyāya usually does, all awareness in a *de re* manner, then, to be aware of S's awareness of a's being f, you have to know first that a is f, because (again, to use Matilal's notation) the content of the belief about S's awareness will be

$$Q (S, Q (\text{awareness}, Q (a, f)))$$

—and in order to arrive at the whole content you must causally and epistemologically work your way back from the innermost qualified content.

But to this Gaṅgeśa raises the insightful objection that, if this were always required, then whenever we ascribed a mistaken belief to another person we would ourselves be mistaken. Thus, God, being aware of all our errors, will actually have to be in error Himself. This brings out why the conclusion of the inference gives us *less* information than what the sentence conveys. Hence, our inference about the utterance U being generated by the speaker's belief that p would not take care of our word-generated awareness that p is directly generated by our listening appropriately to the utterance U. There are many other sophisticated and more carefully constructed versions of the attempted inferential reading of testimonial evidence, but let us pass on now to the other type of inference, namely, where the meant entities themselves figure as *subjects* or *places* where some relevant properties are inferred.

Take the sentence: "John is ill.' This generates in anyone who has mastery of English, who knows who this John is, and who does not question

the credibility of the speaker, the belief that John is ill. Is this belief inferentially obtained? Could it be an inference *about* John (whom the hearer has seen before and now is reminded of by the utterance of his name), an inference to the effect that he has the property of illness (and thus that the predicated property will be the *inferable* and John will be the *place* or subject of inference)?

What will serve as the *mark* or ground for such an inference? Obviously, we have nothing to go by except some features of the words or the sentence as heard and interpreted by the speaker. But the features of words like contiguity, expectancy, and so on could not be *marks*, because the marks and the inferable must be capable of residing in the same locus; at least the mark should be believed to reside in the subject of inference. But features like contiguity or expectancy are syntactic and semantic features of the *utterances* which cannot be looked for in *John* or any of the meant entities. So the mark will be essentially faulty. In response to the difficulty above we could somehow manipulate the *mark* so that this defect of *unavailability* in the *place* of inference does not vitiate it. We could dress up the inference as follows: John (= the place) has the property of illness (= the inferable), because he is recalled by the word "John" in a sequence of words where the other words "is ill," meaning what they do, have the property of "expecting" the word "John." But to tighten up this inference into a valid form, we have to add the semantic feature of "fitness" of the meant entities —once again, because we can never validly *infer* the actual obtaining of the state of affairs reported by an utterance by merely arguing on the basis of syntactic or grammatical features of the utterance. Once we presuppose knowledge of such a semantically strengthened *mark*, we shall actually assume, within the premises of the inference, a prior knowledge of the *truth* of the information, thus rendering all knowledge from testimony into a reknowing of the already known. The inferences become epistemically circular, and the essential freshness of testimonial knowledge is lost.

IX

I started by distinguishing between understanding and word-generated knowledge. The distinction is not drawn in terms of truth or falsity or correctness or incorrectness. There is no tendency in Nyāya to hold that

word-generated awareness is always *knowledge*. We can have false belief generated by believingly comprehended false sentences. The contents of such false beliefs are neatly explained by the general Nyāya technique of assigning misallocated intentional *roles* to bits of the real world, without postulating Fregean false thoughts or Moorean propositions as nonactual floating targets of shared false beliefs or any such twilight entities! Even such false beliefs are word-generated beliefs. So the problem is not with false awareness of contents but with *unbelieving* awareness of contents. Even for one special sort of unbelieving awareness of contents which may result from a sentence known by the hearer to be semantically unfit, that is, patently false, Nyāya has an account. This is the notion of a conniving or mock awareness which is exploited in giving an account of our interpretation of fanciful tales or our attitude toward a contention which we are going to refute. Fitness is no longer a condition; it is rather that a firm awareness of unfitness causes such fictional apprehension of unfit contents. But it seems really like a lacuna in Nyāya philosophy of language (somewhat compensated for by the Grammarian philosophers, who were happier to suppose such intentional entities with ontologically emaciated status corresponding to empty terms or false sentences) that nothing like a propositional content is ever admitted to serve as the object of a belief-free grasp of the meaning of a sentence. It has been established almost without controversy in Western epistemology and philosophy of language that we must grasp the content before judging the content to be true. Although Frege himself drew our attention repeatedly to the informational vacuity of the adjective "true" so that knowing that p, and knowing that p is true, could always collapse to the same thing, it was he who insisted upon a distinction between the three acts of: (1) apprehending thought content, (2) judging it to be true, and (3) asserting it to be true. More recently, Gareth Evans has explicitly formulated the principle of *belief-independence of informational states*:

> [T]he subject's being in an informational state is independent of whether or not he believes that the state is veridical.[8]

But the examples that he gives are of illusions and false impressions which persist even after clear recognition of or firm belief in the non-veridicality of the experience. It is unclear, however, how, without positing ontological

entities like Fregean *thoughts or propositions* (subsisting but not existing), one can call such states "states of *knowledge*." If such beliefless understanding is called knowledge (and sometimes it is said that such knowledge is more definitely obtainable from hearing sentences in a familiar language than *knowledge of the fact* reported in the sentence), then what is it a knowledge of? To answer that it is the *knowledge of meaning* gets us nowhere. If we want to retain our robust sense of reality then we cannot claim to have knowledge of some entities called 'meanings' without *believing* that such meanings are there in the world for us to know them. To continue to insist that the *being there* of the meant content does not constitute the existence of the fact which the sentence would have pictured if it were true is to be left with only one alternative apart from the unpalatable Fregean third realm of the senses, namely, Wittgenstein's Tractarian notion of states of affairs which might or might not exist.

I am myself very much inclined to do justice to what Evans calls the "most subtle and complicated phenomenon" of the ontologically noncommittal language games of giving and receiving information without the full load of belief in their reality. Yet it seems unavoidable to have the believing awareness of content as the *standard* and *normal* case, and build our theories of unbelieving understanding (for example, of jokes or fictional sentences) *derivatively* upon them. To make an account of a normal, serious, information-instilling use of language necessarily go through this murky state of belief-free presentation of contents (when we do not know where in our ontology to accommodate such floating contents) seems to be inviting obfuscation! I am sure that we do unbelievingly understand a lot of utterances, but it is too much to argue that all knowledge of facts through testimony has to go through this noncommittal state of belief-free information intake.

It is only when we have a two-step theory like the one I have been arguing against that we tend to treat the end belief of the credulous audience as inferential, and often inadequately warranted at that. Interestingly enough, Fricker calls the so-called second step (coming to believe that the grasped content is actually the case) the *first-level hearer's belief*. Her notion of *second-level hearer's belief* is, of course, different from that of understanding; it is not belief-free. It is a belief, not about the world, but about the speech act performed by the speaker. Nyāya will have no trouble with that. Surely when I hear you utter a sentence, I perceptually recognize

that you have made an assertion with a certain content. This could be perception. I can also make an inference from this to the effect that you *want* to tell me something by the use of that sentence. But this is not what Nyāya would mean by "word-generated knowledge," because your words did not say "I am making an assertion that…." To be *informed* by your assertion is to believe that what you assert is the *case*.

And this belief can turn out to be *knowledge* when the assertion is true and my apprehension of it follows the intention of the speaker and the grammatical and lexical rules of interpretation of that language. To continue to cling to the view that my (second-level) knowledge that an assertion has been made (and so on) is somehow securer and better justified than my claimed knowledge that what is asserted is the case is to succumb to the skeptical pressure—which Fricker does— *that all intelligible speech could be consistently and systematically* taken as *false*. Thus Fricker draws the corollary from her *inferential* account of first-level hearers' beliefs (the Nyāya *śābdabodha*): "that it is perfectly coherent to suppose an individual who understands others' utterances perfectly, and yet never believes what they say." She goes on to say that such an individual would indeed be "odd." But this word of disapproval is misleadingly mild. I think it could be shown following Davidsonian lines that entertaining such uniform unbelief would deprive the distrustful interpreter of even his capacity to *interpret* correctly. "Too much actual error robs a person of things to go wrong about."[9]

Of course, knowledge is not easy to come by. We must be very cautious. But, the skeptical possibility of the entire web of our beliefs about the world being massively mistaken is no *more* infectious or genuinely threatening to testimony-transmitted beliefs than to our perceptual resources or to our nondeductive inferences. If all this sounds like a defense of gullibility then gullibility needs some defense.

NOTES

1 – John McDowell, "Meaning, Communication, and Knowledge," in *Philosophical Subjects: Essays Presented to P. F. Strawson*, ed. Zak Van Straaten (New York: Oxford University Press, 1980), p. 135.

2 – Vātsyāyana, *Nyāyabhāṣya* 1.1.7.

3 – Mathuranatha, T. C. (M)-7–8.

4 – Compare this with an account given roughly four hundred years later: 'specifically, when S & H are masters of a common language the following can happen: A belief of S gives rise to an utterance by him, which utterance produces in his audience H a belief with the same content; and all this happens in such a way that if S's belief is knowledge then we may allow that title to H's belief too" (Elizabeth Fricker, "Epistemology of Testimony," *Proceedings of the Aristotelean Society*, Supplementary volume [July 1987]).

5 – J. L Austin, *Philosophical Papers* (Oxford: Oxford University Press, 1970) pp. 81–82.

6 – C. A. J. Coady, "Testimony and Observation," *American Philosophical Quarterly*10, no. 2 (April 1973).

7 – Fricker, "Epistemology of Testimony." (See note 4 above.)

8 – Careth Evans, *The Varieties of Reference*, ed. John McDowell (New York: Oxford University Press, 1982), p. 123.

9 – Donald Davidson, *Inquiries into Truth and Interpretation* (New York: Oxford University Press, 1984), p. 200.

NYĀYA THEORY OF DOUBT

JITENDRANATH MOHANTY

I

The Nyāya logic contains a theory of doubt. A preoccupation with the nature, origin and structure of doubt seems out of place in a logical system inasmuch as logic has been taken to be concerned, speaking rather broadly, with formally valid thought abstracted from its psychological context. Now, Nyāya logic—in fact all Indian logic—does not conform to this conception. It is in a broad sense coextensive with, and indeed indistinguishable from, a theory of knowledge, and concerns itself with all kinds of knowledge, the non-propositional and the invalid ones not excluding. In a narrower sense it is of course a theory of inference.[1] But even as a theory of inference it does not (i) concern itself with the bare form, though some amount of formalism has been developed, and (ii) it does not separate logic from psychology in a way that western formal logic has done. Consequently, it is as much interested in the psychological conditions of the origin of a certain type of knowledge, say e. g. of inference, as in the conditions of its logical validity[2].

It is in the light of these remarks about the general nature of the Nyāya logic that we are to understand the reasons for its preoccupation with doubt. For, inquiry (or, as the Nyāyabhāṣya says, *pramāṇairarthaparikṣaṇām* i. e. the attempt to determine the nature of the object with the help of the various sources of true knowledge) presupposes a prior state of doubt; though the Nyaya allows for the case where we make an inference even when there is prior certainty, there being however a special desire to infer. The fact remains however that apart from such cases of intellectual curiosity to provide reasons for what one already knows for certain the most important stimulation for making an inference is provided by a doubt about the presence of the *sāidhya* in the *pakṣa* (e. g. of the fire in the hill

It is further important to bear, in mind the fact that for the Nyāya, as for most systems of Indian philosophy, doubt is a species of knowledge, so that

if I have a doubt of the form 'Is S p or not?', most Indian logicians would say that I am having a knowledge—though not a valid one about S. This rather strange contention, so much at variance with both the philosophical and the ordinary usages of the English word 'knowledge' may be accounted for in either of two ways. It may be either that the Indian philosophers, supported by the conventions of the Sanskrit language are using the word in such a wide sense as to include even doubt and error. Or, it may be—and this seems to me to be the more reasonable account—that the Sanskrit word *'Jñāna'* should not be rendered into the English word 'knowledge', so that doubt and error are species of *Jñāna* but not of knowledge. *'Jñāna'* means any conscious state which is characterised by a reference to an object beyond it, and surely doubt and error are states in which we are conscious *of* something. To be conscious of something amounts, according to the Nyāya, to having a *Jñāna* about that object.

There are various classifications of *jñāna*, the most usual one being into *anubhūti* and *smṛti* (memory). The former may conveniently be defined as all *jñāna* other than memory. *Anubhūti* again is usually subdivided into *pramā* (or true) and *apramā* (or false). A true *jñāna* is one in which the object is known exactly as it is, and a false one is one in which the object is known as what it is not.[3] False *jñāna* is either doubt or error. It may be noted that the exact equivalent of the English word 'knowlede' is, in this scheme, *'pramājñāna'*. Doubt is a kind of false *jñāna*.

Since it has now been pointed out that *'jñāna'* is not strictly synonymous with 'knowledge', we shall henceforth in this paper use the word 'knowledge' *as if* it were so synonymous, and leave the matter at that with the hope that there is no further scope for misunderstanding.

II

The *Siddhāntamuktavaĭ* defines doubt as a knowledge which is *ekadharmikaviruddhabhāvābhāvaprakārakam*, i. e. a knowledge which has (two) contradictory *prakāras*— one positive and the other negative—but referring to the same substantive. From amongst the host of definitions to be found in the Nyāya literature, this one may be singled out for its precision and simplicity, and may be worthwhile to fix upon it. For an

explanation of the definition it is of course necessary to prefix a few words about the concept of *prakāra*.[4]

It is well known that according to the Nyāya, knowledge is ontically formelss (*nirākāra*) and owes its determinations to its object. It is however capable of being logically analysed. Possibility of such analysis presupposes that knowledge has forms of its own in a quite different sense. But what precisely is this sense? The Nyāya no doubt advocates a direct realism, and holds that knowledge in an important sense has no forms of its own, that it is *nirākāra*, its specific forms being derived entirely from its object. However, the Nyāya also believes in the possibility of analysis of knowledge, which presupposes that knowledge has its constituent logical elements and relations.

In primary unreflective attitude, knowledge is directed towards its object but not towards itself. The content of knowledge is brought to light only in the subsequent reflective attitude. In this reflective awareness, it is the contents of the primary knowledge that are directly intended, whereas the object of the primary knowledge is intended only as ancillary (*puchchhalagna*). All such contents of knowledge which reflection discovers are brought under one category, technically called *viṣayatā* which again is further subdivided into three sub-categories: *vśeṣyatā, prakāratā* and *samsargatā. Viśeṣyatā* is the general title for all knowledgercontents referring to substantives *prakāratā* for all contents referring to adjectives, and *samsargaā* for those that refer to relations.[5]

For illustration, consider the knowledge expressed in the judgment 'This is pot' (*Ayam ghato*). This knowledge may be analysed, at the first instance, into the following contents:

(i) a *prakāratā* referring to (the Nyāya would elliptically say, ('attached to') pot-ness;

(ii) a *viśeṣyatā* referring to the pot (in so far as potness qualifies the pot)

(iii) a *prakāratā* referring to the pot (in so far as the pot is a determination of the mere *this*);

(iv) a *viśeṣyatā* referring to the *this* (in so far as it is determined by the pot);

(v) a *prakāratā* referring to this-ness (in so far as it qualifies the *this*);

and (vi) a second *viśeṣyatā* referring to the *this* (in so far as it is qualified
by this-ness).

Let us now introduce a few symbolical devices with a view to facilitate a schematic representation of these contents in their mutual interrelations.

We symbolise a *viśeṣyatā* by enclosing the name for the corresponding element within the braces {}, and a *prakāratā* by enclosing the name for its corresponding element within the braces ().

Thus ' {this}' and '(pot)' would read as 'the *viśeṣyatā* referring to *this*' and 'the *prakāratā* referring to potl respectively.

If and when a certain *prakāratā* determines or limits a certain *viśeṣyatā* we shall simply write the symbol for the *viśeṣyatā* first and write that for the *prakāratā* after it. Thus ' {this} (pot)' would read as 'the *viśeṣyatā* referring to *this* is determined by the *prakāratā* referring' to poť.

Enclosing the whole analysiens by the brackets [] and writing K before it, we shall symbolise the knowledge whose logical structure is exhibited within the outermost brackets. Thus 'K [{this} (potness)}' is to be read as 'the knowledge whose *viśeṣyatā* referring to *this* is limited by the *prakāratā* referring to potness'.

'.' would symbolise 'and' and '~' would symbolise 'not' Thus 'K [{s} (p). {t} (q)]' would read as 'the knowledge whose *viśeṣyatā* referring to s is limited by the *prakāratā* referring to p, and whose *viśeṣyatā* referring to t is limited by the *prakāratā* referring to q'. But 'K [{s}((p). (q))]' would read as 'the knowledge whose *viśeṣyatā* referring to s is limited by two *prakāratās*, one referring to p and the other referring to q'.

'K [{s} (~p)]' would read as 'the knowledge whose *viśeṣyalā* referring to s is limited by the *prakāratā* referring to the negation or *abhāva* of p'. But 'K[{s} ~(p)]' would read as 'the knowledge whose *viśeṣyatā* referring to s is not limited by the *prakāratā* referring to p. K [{s} ~(~p)] would on the other hand read as the knowledge whose *viśeṣyatā* referring to s is not limited by the *prakāratā* referring to the negation of p'.

The Nyāya defines a *niścaya* or a certain knowledge as one which, not having ~p as a *prakāra* has p as a *prakāra* (where, as here, p is a term-variable).[6] Following the symbolic conventions stated above, we may then define a *niścaya* as

$$K [\{s\}(p). \{s\}\sim(\sim p)]\ \ldots\ldots(1)$$

As contrasted with *niścaya*, a doubt may then be defined as a knowledge which has two mutually incompatible predicates (*ekedharmika-*

viruddhabhāvāvaprakārakam) one of which is the negation of the other. In the case of the doubt 'Is this a man or a lamp-post?, two mutually incompatible predicates are being employed. It is however not sufficient for a knowlodge to be called a doubt that it should have two incompatible predicates, for it may be—as in the case of the so called *samuccayajñāna*—that the two incompatible predicates are referred to two different subjects (e. g. 'This is a man and that is a lamp-post). If *samuccayajñāna* is to be represented symbolically as

$$K [\{s\} (p). \{t\} (q)^1 \ldots\ldots\ldots(2)$$

a doubt has to be represented as

$$K [\{s\} (p). \{s\} (q)]$$

, where p and q are mutually incompatible predicates ……………(3)

Thus there are two essential components of doubt. In the first place, the predicates must be mutually incompatible. Secondly, they must be referred to the same subject. We shall enquire a little more into each of these.

That the predicates of a doubt should be incompatibles is suggested by the connective 'or'.[7] The *Rāmarudri* defines incompatibility thus: *"virodhaśca tadadhikaraṇāvṛttitvam"*.[8] On this definition, to say that p and q are incompatibles would mean that one of them is never present in the locus of the other. The author of the *Nyāyalīlãvalī* is not satisfied with this definition of incompatibility, for in that case the definition of doubt would illegitimately apply to such a case of error as 'This conchshell is yellow' whose analysis may be stated as [K {this} (conchshellness). {this} (yellowness)], where, granted that conch-shells are always white and never yellow, the two predicates are incompatibles according to the definition of 'incompatibility' given above. It is necessary therefore that the two predicates should be logical contradictories, p and ~p, one of which is *bhāva* and the other *abhāva*. Doubt in that case would be defined as *'bhāvābhāvaprakārakajñānam'* and symbolically represented, instead of (3), as:

$$K [\{s\} (p). \{s\} (\sim p)] \ldots\ldots\ldots\ldots(4)$$

The adjective *viruddha* (incompatible, or opposed) may still be regarded as not redundant inasmuch as there may be cases where p and ~p may be predicated of the same subject without it being a case of doubt, as e, g. in the judgement 'The yonder tree both has and has not contact with a monkey.' In this case, contact with the monkey (*kapisamyoga*) and absence of such a contact may both be rightly predicated of the same thing at the

same time, for it may have the contact in one part of it, and absence of it in another part. *Dinakarī* therefore suggests that the adjective *'viruddha'* has significance. Even the contradictory predicates must be really incompatibles. Doubt then is *'viruddhabhāvābhāvaprakārakajñānam*!* [9]

I think, however, that the adjective *'viruddha'* is superfluous. The two predicates 'contact' and 'absence of contact' become incompatibles as soon as the subject is further determined. That the subject of both is to be the same implies, strictly understood, that the two subjects must have the same limitor (*avacchedaka*). Referred to the same tree in the same part of it at the same time, i. e. in the same patio-temporal limitations, the two predicates would certainly constitute a case of doubt.

This shows the importance of the second component of the definition of doubt, namely, the requirement that the two predicates must be referred to the same subject. The idea of sameness is deceptive. Consider a deliberate contradictory judgment (*āhāryajñāna*) of the form 'This hill without fire has a fire in it' (*nirbahni parvato bahnimāniti*) whose form is 'S which is ~p is p.' Here two mutually opposed and contradictory predicates are being referred to the same subject, and yet we do not have a case of doubt. Following *Rāmarudri*, we may say that the analysis of such a case shows its form to be

$$K [\{s\} (\sim p)] (p)] \ldots\ldots\ldots(5)$$

which is differeut from K [{{s} (p). {s} (~p)] The difference, likely to be obvious from a mere inspection of the two schemata, lies in the fact that in the case of (5) ~p is predicated of mere s whereas p is predicated of s as qualified by ~p, while in (4) both p and ~p are predicated of one and *the same* s.

The definition may nevertheless seem to apply to cases of deliberate contradictory judgements of the form "S is both p and ~p" which clearly are not cases of doubt: However, such judgements may be regarded as carrying only *śābdajñāna*, so that the *prakāras* are not p and ~p themselves but the property that p and ~p are prakāras (*virodhinānāprakārakatvaprakāraka*). This serves to distinguish a mere *śābda* awareness of a contradiction from a doubt where p and ~p themselves are the *prakāras (virodhinānāprakāraka)*. This ingenuous distinction drawn by Vardhamāna both in *Līlāvaliprakāśah*[10] and in *Kiraṇāvaliprakāśah*[11], may have its source in the consideration that a *śābda* knowledge is mediated through a sentence, so that in this case of merely verbal knowledge, p and ~p directly qualify the

sentence and the fact of their so qualifying the sentence may then be regarded as qualifying the resulting knowledge. In our symbolism, this case may be represented as

$$K\left[\{s\}.\left((p).(\sim p)\right)\right] \ldots\ldots\ldots\ldots(6)$$

Gadādhara holds that the two contents or *viṣayatās* belonging to a doubt have the following three properties:

(i)   One of them is incompatible with the other in the sense that one acts as a hindrance (*pratibandhaka*) to the other:

(ii) neverthless, the two are co-present;

and (iii) the one content belongs to the knowledge only as qualified by the other., and therefore not as an independent content.[12]

The Naiyāyikas have further discussed the question — not of great importance though — if a doubt has two predicates or four. Added to this is the controversy, touched upon earlier, as to whether in case there are two alternatives they are both positive incompatibles or logical contradictories. We get accordingly three schemata which may be exhibited as follows:

(a)   Two positive alternatives theory:

$$K\left[\{s\}(p).\ \{s\}(q)\right], \text{ p and q being incompatibles.}$$

(b)   One positive and the other negative alternative theory:

$$K\left[\{s\}(p).\{s\}(\sim p)\right]$$

(c)   Four alternatives theory:

$$K\left[\{s\}(p).\{s\}(\sim p).\{s\}(q).\{s\}(\sim q)\right]$$

There seems nevertheless to be something about a doubt which escapes the attempt to analyse it logically. We may grant that the Nyāya is not committing the obvious error of mistaking a doubt-sentence as a prepositional one. What the Naiyāyika seeks to analyse is not the sentence, not the proposition certainly in this case — for there is no proposition here — but the *jñiāna* as apprehended in reflective awareness. In spite of all this we may nevertheless point out that the above analysis still misses something essential to doubt *qua* doubt.

There were amongst the Naiyāyikas some who sought to reduce a doubt-sentence to the compresence of two contradictory assertions *S is p* and *S is not p*. This view traditionally ascribed to the author of *Ratnakoṣa* is voiced by Gaṅgeśa, when he in course of an argumentation with the Mīmāmsakas, contends that doubt is *nothing but* such joint predication.[13] Happily, this view is not shared by Gaṅgeśa himself, for he tells us soon after that doubts

are characterised by *Kotyutkatatva*, i e. difference in the relative strength of the alternative predicates. In a mere compresence of two predications, the question of relative strength of the alternatives would not arise. Vacaspati refers to three possibilities from this point of view: either the affirmative predicate (p) is relatively stronger, or the negative predicate (~p) is the stronger one, or it may be that both the alternatives are equally strong.[14] In any case, doubt would involve an oscillation of the mind between the two alternatives: it is this which he has in mind when Vardhamāna so aptly characterises doubt as *dolāyitānekakotika*, i. e. as a knowledge where there is as it were an oscillation between the alternatives. I think, it is this state of the mind, this *dolāyitatva* that is an essential character of doubt and should be added to the structural analysis explained above, — unless of course it could be shown that such a character follows from the structure revealed in (4). I do not know however how this could be shown.

Distinction should nevertheless be drawn between doubt and question. Doubt is no doubt one of the sources of enquiry, though not all doubt is so. There are doubts that are not important enough and are just set aside and do not initiate any enquiry whatsoever.[15]

III

Having given an outline of the structural analysis of doubt given by the Naiyāyikas, we may now tnrn to certain ancillary issues concerning it. There is in the first place the question of classifying doubt into various types, and there is secondly the question regarding the causes of doubt. The Naiyāyikas have generally taken up these two issues together and have classified doubt according to its origination. The Naiyāyikas are not all agreed about any of these issues, and Gotama's *sūtra* on this has been subjected to conflicting interpretations. Vātsāyana, Uddyotakara and Vācaspati differ amongst themselves, not to speak of their differences from the Navya Naiyāyikas. It is difficult to evolve an agreed formula. I give below what seems to me to be an account which cuts across the divergences of opinion about the causes of doubt.

These causes may be divided into two groups: the general causes and the specific causes. By the general causes of doubt we mean those factors which must be present so that any doubt at all may occur. They are in other

words causes of doubt *qua* doubt. The specific causes are the causes only of specific kinds of doubt, and are not therefore to be regarded as causes of doubt *qua* doubt. If doubts are to be grouped in accordance with their origination, it is only these latter, namely the specific causes that are to be taken into consideration.

A. The general causes may be brought under two sub-heads, the positive and the negative.

(a) The positive general causes of doubt are two: (i) *dharmi-jñāna* and (ii) *viśeṣasmṛti*.

(i) In the first place, a doubt quâ doubt presupposes a knowledge of some sort of the *dharmi*, i e. the substantive of which the two mutually contradictory predicates are predicates. It should be obvious that this knowledge of the *dharmi* should be a *niścaya* i. e. a certainty, and cannot itself be a doubt, for otherwise the latter doubt would pre-suppose a further *dharmijñāna*, thus leading to an infinite regress. Consider the doubt 'Is this a man or not?' Here though the doubter is not sure-whether this is a man or not, he has a certain apprehension of the object here before him as a *this*, and may be along with some other generic characters. Gangeśa suggests two reasons why this factor should be regarded as an essential precondition of all doubt *qua* doubt. If *dharmijñāna* were not required for all doubts, there ought not to have been the rule that all doubts must have some substantive.[17] In fact, however, doubts are of the form K [{s} (p). {s} (~p)], and not of the form K [(p). (~p)]. Further, the property that in doubts one of the alternatives may be stronger than the other (*kotyutkatatva*) cannot be explained otherwise, for in the knowledge K [(p). (~p)], p and ~p should have no difference in status; any difference which they may have must be in their relation to the s which is being apprehended *as* s.

(ii) Mere *dharmijñāna* is not enough to produce a doubt. More-over mere knowledge of s as s does not explain why the doubt should have the predicates p and ~p, and not the predicates, let us say, q and ~q, We need therefore another positive, general condition, namely a remembrance of the two alternatives p and ~p. This is what is called *viśeṣasmṛti*, p and ~p being the *viśeṣas* or specific characters. It may also be called *kotismṛti* for they are also called the *kotis* or alternatives.

(b) The negative general condition necessary for all doubts *qua* doubt is non-perception of the specific characters as belonging to the substantive (*viśeṣa-adaśana*). Definite knowledge of the presence of any of the specific

characters in the substantive is a hindrance to doubt. If the supposed doubter knew for certain that s has p, or if he knows for certain that s has ~p, then the doubt 'Is s p or ~p?' would not obviously arise. Hence the absence of such specific knowledge is a necessary condition of all doubt *qua* doubt.[18]

B. While the conditions listed under A are necessary for there being any doubt at all. there are however other special causes of specific types of doubts. Thus doubts may be caused by either (a) perception of the common character (*samanadharmopapatti*), or (b) perception of an uncommon character (*anekadharmovapatti*) (c) hearing contradictory views expressed by parties opposed over an issue (*vipratipatti*), (d) reflection on the absence of any concommittance between *being experienced* and *being real* and between *not being experienced* and being unreal (*Uvalabhhi-anupalabdhi-avyavasthā*). Let us explain each one of these with suitable examples.

(a) A doubt of the form 'Is a p or not?' may arise from perception of some character common to both p and not-p (provided of course, it is accompanied by perception of s as s, non-perception of the specific characters p and not-p, and remembrance of those specific alternatives). By a common character is here meant any character or characters which are present where p-ness is present, but is also present where p-ness is not present, i.e. which may be accompanied either by p-ness or by not-p-ness. Seeing, something at a distanced s as a mere *this*), and perceiving its height, size, shape etc. which could very well belong to a man or to a dead tree trunk, one might doubt 'Is this a man or a dead tree trunk'?. If at this stage he could detect any of the specific properties which goes only with manhood, then his doubt would give place to the certainty 'This is a man.' Now it seems clear that in doubts arising from the perception of a common character in the above sense, the alternatives tend to be positive contraries instead of being logical contradictories, a point recognised by Vācaspati when he says that doubts of this kind are characterised by *vidhiprādhānya*.

(b) A doubt may arise also from the perception of an uncommon character. On perceiving some uncommon character in some substantive s, one may be haunted by the doubt what character it shares or has in common with others. The Naiyāyika's favourite example is this; if sound is known merely as possessing soundness (which is its distinguishing and in that sense an uncommon character) one may very well doubt if it over and

above this possesses eternality or non-eternality, for both are compatible with soundness:

The distinction between cases under (a) and those under (b) is apt to be overlooked. In the case (a), one perceives in s a character x which is common in the sense that it *as a matter of fact* accompanies and is consistent with both the alternatives. It accompanies p-ness as well as not-p-ness. In case (b), a character x is perceived in a s such that x belongs to s alone, and x is consistent with both, but not known to accompany either of, p-ness and not-p-ness.

(c) When in course of a disputation, the opposed and contrasting parties put forward their respective these, a hearer is very likely to be overcome by a doubt as to which of the theses is the correct one. The older Naiyāyikas take this as a special case of doubt, where the doubt is *śābda*, i. e. generated by hearing and understanding of the words uttered by the disputing parties. In such a case, of course, doubt arises not in the mind of the disputationists, for each of them is convinced of the correctness of his own contention, but in a neutral observer (*madhyastha*) who is confused by the mere statements of the contradictory positions advocated in the absence of any decisive supporting arguments. There must be absence, in other words, of *anyatarasādhakahetu*. Such doubt, once it has arisen, cannot be removed by the mere collective judgment (or, *sampratipatti*) of the form 'A holds p to be the case, and B holds not-p to be the case.'[19] What is necessary is the ascertainment which of the two is really the case.

Naiyāyikas are divided over the issue whether a doubt arising from this special cause is to be called *śābda* or *mānasa*. The question in other words is: does the doubt arise through hearing, or does it arise through the operation of mind (*manas*)? Raghunātha defends the former alternative and has the older authorities on his side.[20] Viswanātha argues in favour of the latter alternative, and makes use of the premise that *śabda* as a rule is a source of certainty so that by itself it cannot generate doubt.[21] What happens according to him is that the statements of the disputing parties give rise to remembrance of the alternatives. This latter knowledge, then, provided all the other required conditions are present, gives rise to doubt which therefore is *mānasa* and not *śābda*.

(d) Being an object of experience is not a sure mark of being real. Epistemological objecthood may or may not be accompanied by ontological independence. Both the real water and the water-in-the mirage are objects

of experience. Both the real snake and the illusory snake-in-the-rope are seen. Therefore from the mere fact that something is being experienced one cannot make sure as to whether the experienced something is also teal or not. There may therefore arise in such a case doubt about its reality or unreality.

Similarly, not being an object of experience is not a sure mark of unreality. The unreal of course may not be experienced. But so also frequently is the real. Not all that is real is experienced. Therefore, from the mere fact that something is not being experienced nothing can be ascertained as regards its reality or unreality. There may therefore arise in such a case doubt about the reality or unreality of what is not being experienced.

Attempts have been made to explain cases (d) in other ways. Consider the possibility (d'): Supposing I am having a knowledge which certainly possesses the generic character of experience-ness or *jñānatva*. This generic character however is consistent with, and is accompanied by, either of the two specific characters, the property of having a real object (*sadviṣayakatva*) and the property of having an unreal object (*asadviṣayakatva*). If we do not experience any of these specific characters in the knowledge under consideration there may be a doubt in accordance with rule (a).

However, there is a difference between (d) and (d'). In (d), the doubt concerns the object of the experience under consideration. The object being an epistemological object may or may not be ontologically real. In (d'), on the other hand, the doubt is about the knowledge or experience itself. Its being an experience may be either *sadviṣayaka* (true) or *asadviṣayaka* (false).

It has also been contended by others[22] that (d) is a special case of another rule (d"): doubt about the truth of a knowledge gives rise to doubt about the reality of the object of that knowledge (*prāmāṇyasaṃśayāt viṣayasaṃśayat*). Let K be a knowledge having O for its object. If for any reason I have a doubt of the form 'Is K true or not'?, this would generate a further doubt of the form 'Is O real or not'?.

There is again a nice point of difference between (d) and (d") In case of (d) what causes doubt about the reality or unreality of O is not a prior doubt in the truth of K but the perception of the generic character of O as an

object of knowledge, this character being consistent with both the reality and unreality of O.

The importance of the rule (d") —and one reason why it cannot be reduced to any other—is that though a prior certainty about an object (*arĭhaniścaya*) rules out the possibility of doubt about the same object, nevertheless such doubt may be caused by an intervening doubt in the truth of that initial certainty. The sequence in such cases may be set down thus:

1. Certainty, K, about O. 2. Doubt: Is K true? 3. Doubt: Is O real?

In the absence of (2), (3) cannot take place when (1) has already been there, the general rule being that though doubt does not obstruct certainty (for otherwise doubt would never be resolved), yet certainty does exclude doubt except in the case coming under (d").

(e) Another rule, which according to many comes under the *'ca'* of Gotama's sutra 1.1. 23, is to the effect that a doubt about the pervaded gives rise to a doubt about the pervader (*vyāpyasandehāt vyāpakasandeha*).[23] Smoke, for example, is pervaded (*vyāpya*) by fire which is the pervader (*vyāpaka*) in relation to it. Whereever there is smoke, there is fire. Smoke is never present in any locus of the absence of fire. If a person who knows this relationship between smoke and fire perceives smoke in a distant hill and recognises the smoke as the *vyāpya* of fire, he would naturally infer, and so arrive at a certainty that the hill also possesses fire. If however such a person, for whatever reason, comes to have the doubt whether what looks like smoke is really smoke or not, he whuld be led to the further doubt whether the hill possesses fire or not. Of course here as before in the case of inference, it is necessary that smoke should have been earlier known and in the present recognised to be a *vyāpya* of fire. It also holds good that certainty about the *vyāpya* of any one of the alternatives of a doubt would necessarily put an end to the doubt. Consider the doubt 'Is this a man or not'?. As soon as the doubter comes to perceive clearly such features as hands feet etc. in the object before him which is being referred to as *this*, his doubt would give place to the certainty 'This is a man', for the property of possessing limbs is a sure mark of manhood. Hence, the *viśeṣadarśana* or non-perception of specific characters— which is one of the general conditions of all doubt qua doubt—must be taken to include non-perception of the marks (or *vyāpyas*) of the specific characters.

IV

In this section we propose to examine Descarte's doubt with the help of the Nyāya theory outlined above. Such a confrontation, it is hoped, will help us to throw light on both the sides, and thereby on the nature of doubt *qua* doubt.

Descartes' doubt applies in the first instance to anything and everything in the world and also to any and every knowledge and experience. In his first *Meditation* and also in *The Principles of Philosophy, Part I* he gives us the grounds of his universal doubt. These grounds are the follhwing:

1. The senses are often found to mislead us. We cannot therefore place absolute confidence in them, for "it would be imprudent to trust too much to what has even once deceived us".[24]

2. Secondly, "in dreams we perpetually seem to perceive or imagine innumerable objects which have no existence".[25]

2a. There are, Descartes argues, "no certain marks by which the state of waking can ever be distinguished from sleep"[26], i. e. from the state of dreaming.

3. With regard to the supposedly self-evident truths of mathematics Descartes employs the following two arguments:

a. It is often found that men fall into error even in such matters, and regard as self-evident what is really false.[27]

b. More important for Descartes is this one: We believe that God who created us is all powerful. We do not however know for certain whether this all powerful God is not a deceiver. It may therefore be that he has created us with the will to deceive us. If on the other hand the creator is not all powerful then we shall be more imperfect and more likely to be under continual deception.

4. There is a final argument which, as would be clear from the remarks to follow is of the highest importance. We possess a free will and we are therefore free to withhold our assent from whatever is doubtful. In other words, we may suspend our belief in whatever is not "manifestly certain and undoubted".[28]

It seems clear that Descarte's arguments (1) and (2) come under the Nyāya rule (d), i. e. they are really based upon what the Nyāya calls *Upalabdhi-avyavasthā*. In this respect these two really constitute one

argument. They appeal to the fact that there is no fixed correlation between being an object of experience and being real. The unreal is as much an object of experience as the real. What is presented through the senses may then be unreal, just as what is presented in dream may be real. The doubt therefore may be accounted for by (i) perception (mentally) of the generic character of objectivity (*jñānaviṣayatva*) and (ii) uncertainty as to reality or unreality, arising out of the absence of any settled order in such matters.

The argument (2a) however presents great difficulty. What is necessary for the possibility of a doubt of the form 'Am I awake or am I dreaming?' (= 'Is this a dream or is it a waking experience?') is that I should perceive the generic character of experience-ness (*jñānatva*), and yet fail to perceive either of the two specific characters (which in the present case are the property of being a dream and the property of being a waking experience) or their respective marks. The possibility is *a priori* implied therein that there are such marks, and that it is possible to distinguish between the two specific characters, though in any given case one may fail to do so. Descartes however contends that there are "no certain marks" by which one may be distinguished from the other. If two properties p and q cannot at all be distinguished, i. e no sure mark exists which could serve the purpose, then there is no question of the non-perception of such marks, and hence no possibility of doubt with regard to them. If on the other hand there are such marks though Descartes fails to adduce any then his doubt cannot claim universality. He could then only say that he could not then and there distinguish the one from the other. Moreover, if no sure mark of dream experience were known to him on what ground could he almost persuade himself to think that he was then dreaming?[29] The point is that a doubt of the form 'Is S p or q?' requires both that p and q are distinct with their respective distinguishing marks and that in a given case there is a non-perception of them. These two conditions defeat the possibility of a universal scepticism.

The argument (3a) is formally of the same type as the first argument and is to the effect that where there is the least chance of error, where in other words there is no *upalabdhivyavasthā*. i. e. no rule that only the real is experienced, one may reasonably doubt. This applies as much to sense-perception as to mathematics. And incidentally it may be pointed out that the argument applied to mathematical truths is close to the point of view of the Nyāya logic which does not admit the distinctions between analytic, and

synthetic, *a priori* and *a posteriori*, self-evident and not-self-evident truths. The subjective possibiliry of error being always there, there may be doubt regarding the truth of any nowledge whatsower as also a resulting doubt about the reality of the object of such knowledge.

However none of the arguments 1–3, though sanctioned by the Nyāya rules, can be used for the purpose of justifying a universal scepticism. For, among the necessary conditions of douct quâ doubt there is at least one which constitutes a certainty: this is the *dharmijñāna* or knowledge of the substantive. In any particular doubt there must be certainty about the *dharmi*. Basing on the facts of error, we may have two kinds of doubt: the one of the same sort as 'Is this a rope or a snake?' another of the philosophical kind: 'Is sense-perception valid or not?' or 'Is the world real or imagined?'. It is easy to show that doubts of the second kind are self-stu'tifying, for they question the very reality of their own respective *dharmis* which they cannot consistently do.

Two other arguments of Descrates remain to be examined. The doubt involved in 3(b) may be restated thus:

'Is God who is known to be all-powerful also a deceiver or not?. The doubt so formulated seems to be sanctioned by the Nyāya rule B(b). Here we have an uncommon character belonging to the *dharmi* i. e. being both the creator of the world and all-powerful, and we are left in doubf as to which of the two properties 'being a deceiver' and 'being veracious'—both compatible with the above uncommon character—further belongs to it. Such a doubt, if it comes to happen, would no doubt have a limitless scope with regard to the truth of *all* our experience. It would not however apply to our belief in the fact that there is an all-powerful creator. The argument is to that extent effective, but looses its force because of the fact that its starting point is a theological belief from which a reflective philosopher may not start.

Descertes' *Cogito* which sets a limit to his doubt may be interpreted as the ultimate *dharmi*, certainty about which is presupposed in any doubt. But it should be pointed out that the 'I' is the *dharmi* only in the reflective judgements of the form 'I know'. 'I perceive' etc., but not in the unreflective judgments of the form 'This wall is white', 'The yonder bird is a crow' etc., Doubts being of the form 'Is this wall white or not?', 'Is the yonder bird crow or not?' do not presuppose certainty about the 'l' as their *dharmi*. In case however these doubts come to occur through the reflective

Umweg of doubts in the validity of the respective knowledges (as per rule α^n), then of course certainty about the 'I' would be presupposed, for the 'I' is the *dharmi* in the latter doubts that have the form 'Did I know rightly or not?' If Descartes' doubt is to justify certainty about the *Cogito*, then he must be interpreted as having taken to this reflective *Umweg* of having first doubted the *prāmāṇya* of our beliefs, and then arrived at the doubt about the reality of the objects of those beliefs. Such an interpretation is amply borne out by Descartes' writings.

One of the chief grounds sustaining Descartes' universal scepticism lies hidden in the last of his arguments. The human will, he writes, is free and so is also free to withhold its assent from whatever is doubtful. It must readily be seen that this argument represents a type of thinking foreign to the Nyāya, and in fact to all Indian philosophy. Withholding assent or doubting as a function of the limitless freedom of the will is not recognised as a possibility in the Nyāya, and therefore the argument (4) does not conform to any of the Nyāya rules. And yet if anywhere it is here that we shall find the sources of a truly *philosophical* doubt.

With a view to looking closer into the nature of this argument let us ask, what is meant by the two expressions "withholding ones assent" and "whatever is doubtful"?

Withholding ones assent means a deliberate, reflective decision not to believe, to suspend or neutralise ones belief, to "bracket" it as Husserl would say. The motive for doing this—with Descartes, and also with Husserl—is the reflective one of finding a secure basis for human knowledge, a radical foundation, a first principle for the sciences. The Nyāya is operating with a strictly causal-deterministic conception, and within such a framework a doubt could occur only when there are necessary and sufficient conditions for it. The Naiyāyika might seek to include this reflective doubt within his own deterministic framework by tracing it to the factor of *icchā* which is recognised by him to overpower others. But I wonder if this would help us to overcome the great difference that subsists between the two conceptions, which may perhaps be brought to light in still another way.

Withholding ones' assent to a belief does not exclude making practical use of that belief. Descartes and Husserl, just when they ask us to doubt, or to practise the *epochè*, do not suggest that that would mean giving up and

reorientation of our practical behaviour, of our *Lebenswelt* based precisely on those beliefs. On the contrary, Descartes writes:

"…we ought not meanwhile to make use of doubt in the conduct of life." (*The Principles of Philosophy*, part I. III.)

And Husserl says the same of his phenomenological *epochè*: the *epochê* will not affect the daily course of practical life; it will only suspend theoretical judgment about the 'being' of the world.

What is excluded is the possibility of making any theoretical use of the beliefs concerned, I wonder if the Naiyāyika would approve of this attitude. For him, though ascertainment of the truth of a belief (*prāmāṇyāgraha*) is not necessary for the appropriate practical behaviour, yet non-apprehension of its falsity is certainly a necessary condition.[31] Now, on the Nyāya analysis, doubt in the truth of a knowledge has the form:

K [{this knowledge} (truth) {This knowledge} (falsity)]. In so far as this doubt has falsity as one of its *prakāras*, the doubt is an apprehension of falsity in the belief, and therefore on the Nyāya rules would serve as a *pratibandhaka* to the appropriate practical behaviour. Normal practical behaviour would therefore be impeded by a universal scepticism. Descartes and Husserl do not apprehend this possibility but on the other hand assure us that their doubt would leave the practical *Lebenswelt* untouched. There must then subsist a radical difference between the two doubts. They must then be not merely different kinds of doubts, but *as doubts* different.

The same radical difference comes to light if we examine what Descartes means by 'whatever is doubtful'. In one meaning of it, a thing is doubtful if it is in fact an object of doubt. But, for one, this is not all that is there in the ordinary meaning of that expression; and, for another, if to be doubtful meant to be *in fact* an object of doubt, then Descartes' decision to withhold assent from what is doubtful would be trivial; he would then be asking us to dobut what is being doubted, which would be utterly pointless. To be doubtful then means to be a *possible* object of a doubt. Now on the theory nothing possesses any property or properties which make it liable to be doubted. Nothing by itself, i. e. by virtue of any its properties, is *doubtful*. Everything at the same time is a possible object of a valid knowledge, i. e. a *prameya*. Suitable *epistemic* conditions may however produce in a person doubt about anything. For Descartes, and for the entire tradition of Western philosophy there is an important sense in which a thing may meaningfully be called doubtful. This is the sense that the thing *could have been*

otherwise, that its contradictory is possible, or that it is, though a fact, a contingent one, contingency of p being defined (in 'Lukasciewiz' symbolism) as KCp CNp. If there is any p of which this holds good then it is doubtful. It is not necessary. It is, as Descartes says, uncertain. From all such things we are entitled to withhold our assent.

It would be obvious that the Nyāya knows no such categorisation of things or facts or propositions into contingent and necessary. It knows, as said before, no distinction between what is in fact true but might not have been, and what is necessarily true, between the *a posteriori* and the *a priori*, or even between analytic and synthetic truths. Bare logical possibility or counterfactual conditionals do not interest it. It gives a logic of facts, and *in this sense* is extensional, avoiding modal concepts[32] It would hot therefore approve of a universal scepticism, based on the notion of logical possibility.

Should we then say that here is an overall limitation of the Nyāya logic, whose symptoms show themselves in all aspects of it far beyond the narrow subject matter of the present paper? Perhaps it is so. It may also well be the case that doubt (or *samśaya*) in one sense is exactly what the Nyāya means by it, and for it the Nyāya logic is well adapted. At the same time, philosophical doubt, doubt in the reflective level, falls beyond its scope. And the two doubts, it may well be, are not only different kinds of doubts but are *as doubts* different. One and the same logic cannot do justice to both. Descartes may be said to have erred on the opposite side, when he sought to extend the logic of ordinary doubt to philosophical doubt, which is the same as using arguments (1)—(3) to justify the latter.

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1 in the sense e. g. in which Vātsāyana defines *Nyāya* as *Pratyakṣāgamāšriitamanumānam* (Bhāṣya on Nyāya Sūtra 1.1.1.)

2 What is more, the Nyāya goes to the extent of holding that a formally invalid inference is even psychologically impossible, the socalled *hetvābhāsas* being, not errors in inference, but conditions which render an inference psychologically as well as logically impossible.

3 Memory also is *apramā*, but not in the sense in which doubt or error is so.

4 For a more detailed account of this and the allied concepts see my *Nature of the Prāmānya Theory* II, Our Heritage, Bulletin of the Department of Post-graduate Training and Research, Sanskrit College, Calentta, Vol. VIII. Part I, pp. 85–52.

5 Further elaborations of these concepts, howsoever necessary, would take us beyond the scope of the present paper. See reference given under footnote 4. Be it noted here, to avoid any further misunder standing, that the epistemic distinction between *vikeṣyatā* and *prakāratā* does not correspond to the ontological distinction between substance and attribute. Nor is it the same as the logical distinction between subject (*uddeśya*) and predicate (*vidheya*).

6 "tadabhāvārakārakam tatprakārakamjňanam (*Muktāvali* on Kārikā 129)

7 *"Vākārathaśa virodha"* (*Kiraṇāvaliprakāśaḥ (Guṇa)*). The Princess of Wales Saraswati Bhavana Texts Series, p. 135.

8 *Siddhāntamuktāvalī* with *Dinakarī* and *Rāmarudri*.

9 ibid., p. 480

10 Chowkhambā ed., p. 414.

11 *loc. cit.*, p. 188.

12 Hence Gadādhara's rather forbidding definition: *"svāvacchinnaprativadhyatā-nirūpitaprativandhakatva-svasamānāhikaraṇyvbhayasambandhena viṣayatāviśiṣṭabiṣaya-tāsālijñānam samśaypadārthaḥ"*. (Prāmāṇyavāda Gādādhari).

13 "Viruddhobhayāropasāmagridvayasamājādubhyāropa eka eva bhavati sa eva samśsayaḥ" (Prāmāṇyavāda, Darbhangā edition, p. 91).

14 *ibid.*, p. 92.

15 Vardhamāna — Kiraṇāvaliguṇaprakāśa, p. 130.

16 Vardhamāna — "Ka ca jijnāsājanakam jnanam samśayaḥ upekṣaṇlyasamsayāvyāpteḥ" (*ibid.*, p. 133).

17 Dharmijñānam ca samśayahetuḥ, anyathā samśaye dharminiyamḥ kotyutkatatsam ca na syāt" (*loc cit.*, p 92).

18 It may be mentioned that both the factors (a) (ii) and (b) are implied in Gotama's sūtra where doubt is characterised as being *viśeṣāpekṣa*, which may mean either *viśeṣādarśana* (apekṣā = *adarśana* or   corresponping to the above two factors respectively. There is a third possible interpretation according to which this expression means "the desire to apprehend the specific characters" (*apekṣā= ākānkṣā* or desire): but we cannot include such desire amorgst the necessary pre conditions of doubt qua doubt. There may be doubts even when such desire is absent. Moreover often the desire to ascertain is a consequence rather than a cause of doubt.

19 See Vātsāyana Bhāṣya on Nyāya Sūtra 2. 1. 6.

20 See Phanibhusan Tarkabagish on sūtra   (Nyāyadarsana Vol.

21 Śabdavyāptijnānādinām niścayamātrajanakatvas vabhāvāt.

22 See for example Dinakari ou Siddhāntamuktāvali on kārikā 180

23 See Ingalls—*Materials*, for the relation of pervasion or *vyāpti*.

24 Descartes — *The Principles of Philosophy* (Everyman Ed.), p. 166.

25 *ibid.*, p. 166.

26 Descartes — *Meditations* (Everyman ed.) p. 81.

27 *"The Principles of Philosophy*, p. 166.

28 *"ibid.*, p. 166.

29 Meditations (Everyman's Ed.), p. 81.

30 The only rule which hears a certain semblance to the Certesian case under consideration is the Nyāva ruly that the factor of desiro *icchā* overpowers any other set of factors tending to produce a contrary result.

31 Gangeśi *Prāmāṇyavāda*

32 It should he remembered however that the Nyāya logic is not extensionai in the sense that it knows no quantification. But that is an altogether different sense of extensionality.

Acknowledgments

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Volume 2:
Logic and Philosophy of Language

Edited by Roy W. Perrett

Indian Philosophy

A Collection of Readings

Series Editor

Roy W. Perrett
Massey University

Series Contents

Logic and Philosophy of Language

Edited with introductions by

Roy W. Perrett

Massey University

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Series Preface

No anthologist succeeds in including everyone's favorites, so a few words about the principles of selection seem appropriate. Firstly, as with other volumes in this Garland series, priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. Readers in search of further bibliographical assistance should consult what is now the standard source: Karl H. Potter, *Bibliography of Indian Philosophies*, 3rd rev. ed. (Delhi: Motilal Banarsidass, 1995), and the on-line updates to it available at the "Indian Philosophy Bibliography" (http://faculty.washington.edu/kpotter/). Secondly, the emphasis throughout is on *philosophical* studies of Indian philosophy. Consequently, much excellent historical and philological work has been omitted. Thirdly, the desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology. This restriction has prevented the inclusion of more work by Indian authors.

Finally, I would like to acnowledge gratefully all the good advice and generous assistance I have received from Chakravarthi Ram-Prasad, Mark Siderits, and (most especially) Stephen Phillips. The blame for any shortcomings that may remain rests, of course, solely upon my own shoulders.

Series Introduction

The five volumes of this series collect together some of the most significant modern contributions to the study of Indian philosophy. Indian philosophy is one of the great philosophical traditions of the world. Unfortunately, however, its philosophical riches are not always as readily accessible to Western philosophers as might be desired. The selections in these volumes help to redress this situation by giving readers easy access to some of the best philosophical work in the area, including material that is often difficult to locate.

Collectively the selections in these volumes explore many of the important commonalities and differences between the Indian and Western philosophical traditions. These similarities and differences are philosophically pregnant. There is enough in common between Indian and Western philosophy to suggest that the philosophers in both traditions are often engaged with similar problems and hence should be able to communicate with each other. However, there are also sufficient differences between the traditions to suggest that they may have some novel perspectives to offer each other.

In choosing the selections for this series priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. The emphasis throughout is on *philosophical* studies of Indian philosophy. The desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology.

Volume 1: Epistemology is concerned with the nature and scope of Indian *pramāṇa* theory, i.e. that part of Indian philosophy concerned with the nature and sources of knowledge. Indian philosophers developed a causal theory of knowledge and acknowledged the existence of a number of valid ways of knowing, including perception, inference and testimony. The Indian *pramāṇa* theorists thus discussed many issues that have also occupied Western epistemologists, often offering importantly different perspectives on these matters. They also sometimes addressed various interesting questions about knowledge that are unfamiliar to Western epistemologists.

The selections in this volume discuss Indian treatments of epistemological topics like the means of knowledge, realism and anti-realism, truth, knowledge of knowledge, illusion and perceptual error, knowability, testimony, scepticism and doubt.

Volume 2: Logic and Philosophy of Language is concerned with those parts of Indian *pramå~a* theory that Western philosophers would count as logic and philosophy of language. Indian philosophers and linguists were much concerned with philosophical issues to do with language, especially with theories of meaning, while the Indian logicians developed both a formalised canonical inference schema and a theory of fallacies. The logic of the standard Indian inferential model is deductive, but the premises are arrived at inductively. The later Navya-Nyåya logicians went on to develop too a powerful technical language, an intentional logic of cognitions, which became the language of all serious discourse in India.

The selections in this volume discuss Indian treatments of topics in logic and the philosophy of language like the nature of inference, negation, necessity, counterfactual reasoning, many-valued logics, theory of meaning, reference and existence, compositionality and contextualism, the sense-reference distinction, and the nature of the signification relation.

Volume 3: Metaphysics is concerned with the complement to *pramå~a* theory, i.e. *prameya* theory. Whereas the *pramå~as* are the means of knowledge, the *prameyas* are the knowables, cognisable entities that constitute the world. With respect to the number and kinds of such entities, there was a very wide variety of opinion among classical Indian

philosophers — including variants of monism, dualism and pluralism about both entities and kinds. Many metaphysical topics were debated, but two of the most important were causation and the nature of the self. The competing theories offered about these two issues also raised other questions about the metaphysics of wholes and parts, substances and properties, and universals and particulars.

The selections in this volume discuss Indian treatments of topics in metaphysics like ontology, constructionalism, universals, negative facts, mereology, causation, relations, freedom and determinism, and theories of the self.

Volume 4: Philosophy of Religion is concerned with something that can be described as "Indian philosophy of religion," i.e. "philosophy of Indian religions." Contrary to popular Western belief, classical Indian philosophy was not indistinguishable from Indian religion — as even a cursory glance at the first three volumes of this series will demonstrate. Religious concerns, though, did motivate the work of many Indian philosophers. However, important differences between the major Western religions and the major Indian religions (Hinduism, Buddhism, Jainism) mean that the shape of Indian philosophy of religion is often significantly different from that of Western philosophy of religion.

The selections in this volume discuss Indian treatments of topics in the philosophy of religion like the problem of evil, God, theological monism and dualism, atheism, the concept of a perfect being, reason and revelation, rebirth and karma, religious language, religion and politics, ritual and *mantra*, and the religious determinants of metaphysics.

Volume 5: Theory of Value is concerned with Indian discussions in the areas of ethics, politics and aesthetics. The Indian philosophers had a good deal to say about the theory of value as they vigorously discussed topics like the ends of life and the relation of virtuous action to those ends. A traditional Hindu classification recognises four classes of values: *dharma* (morality, virtue), *artha* (wealth, power), *kāma* (pleasure), and *mokṣa* (liberation). *Mokṣa* is usually held to be the highest value and is extensively discussed in the paradigm Indian philosophical texts. Indian political and

legal theory is concerned with the values of *artha* and *dharma.* Aesthetic pleasure is one of the subject matters of a developed body of writing on aesthetic theory. *Rasa* ("flavor"), the special feeling or enjoyment that pervades an artwork or is aroused in its contemplator, is commonly seen as detached from the aims and concerns of ordinary life, with some even suggesting that it provides a foretaste of the bliss of *mokṣa.*

The selections in this volume discuss Indian treatments of topics in the theory of value like the proper ends of life, the relation of *dharma* and *mokṣa,* liberation and pleasure, the sources of our knowledge of right and wrong, the ethics of non-violence, the status of the supra-moral, egoism and altruism, the theory of *rasa*, aesthetic experience and catharsis.

Volume Introduction

Classical Indian *pramāṇa* theory includes not only what Western philosophers would count as epistemology, but also much that they would count as logic and philosophy of language. This is because almost all Indian philosophers recognized inference *(anumāna)* as an independent source of knowledge, and many Indian philosophers recognized testimony (*śabda*) as a special kind of word-generated knowledge.

The history of Indian logic can be roughly divided into three periods (Vidyabhusana 1978): the ancient period (650 BCE-100 CE), dominated by the *Nyāyasūtra* and its commentaries; the medieval period (up to 1200 CE), dominated by the Buddhist logicians Dignāga and Dharmakīrti; and the modern period (from 900 CE), dominated by Gaṅgeśa and the school of Navya-Nyāya, or "New Logic". Since the origins of Indian logic were in the ancient traditions of public debate (Matilal 1985, 1998), there are accordingly two distinct, though intertwined, parts to its development. One part (on which there is a very large literature) is to do with the search for a satisfactory model of inference and the consequent emergence of a formalized canonical inference schema. The other part is more to do with dialectics (Solomon 1976), and includes a concern with the nature of fallacies *(hetvābhāsa)*. Both parts are evident in Gautama's *Nyāyasūtra* (second century CE), the foundational text for the development of ancient Indian logic.

Gautama identifies and systematizes a form of inferential argument used in debate (Potter 1977, Chakrabarti 1977). He defines an inference as having five parts: the proposition (*pratijñā*); the ground or reason (*hetu*); the

corroboration (*dṛṣṭanta*); the application (upanaya); and the conclusion (nigamana). The stock example is:

> Proposition (*pratijñā*): The mountain has fire.
> Ground or reason (*hetu*): Because it has smoke.
> Corroboration (*dṛṣṭanta*): Whatever has smoke has fire, like a kitchen.
> Application (*upanaya*): This mountain has smoke.
> Conclusion (*nigamana*): Therefore this mountain has fire.

The Buddhists and others argued that this schema includes redundant elements, but over the centuries Nyāya steadfastly insisted that all five parts are necessary for an argument used to convince others. The logic is deductive, but the premises are arrived at inductively. Crucial to this schema (which some scholars have called the Indian "syllogism") is the notion of the inference-warranting pervasion relation (*vyāpti*) appealed to in the third premise. Naiyāyikas are fallibilists about our knowledge of pervasions and hence inferential reasoning is defeasible, i.e. reasoning based on an assumption of a *vyāpti* can in principle be defeated.

The *Nyāyasūtra* also contains a list of five classes of fallacious reasons (*hetvābhāsa*), all of which fail to possess all the characteristics of the true reason (*hetu),* plus warnings about various kinds of debating tricks. The classes of five fallacies were elaborated upon by later commentators (Saha 1987), but as Indian logic developed much more attention was given to the formalization of the canonical inference.

Medieval Indian logic was dominated by the Buddhist logicians Dignāga and Dharmakīrti, though there were also important contributions made by the Jainas. Dignāga (5th century) built upon and systematized earlier Buddhist work in logic, setting out the framework within which later Buddhist thinkers addressed questions of inference and debate (Chi 1984, Matilal and Evans 1986, Hayes 1988, Matilal 1998). The Buddhist formalization of the standard inference schema is simpler than the Nyāya version:

Thesis (*pakṣa): p* has *S.*
Reason (*hetu): p* has *H.*
Pervasion (*vyāpti*): Whatever has *H* has *S.*

(Where *p* is the *pakṣa* or subject of the inference, *S* is the *sādhya* or property that qualifies *p*, and *H* is the *hetu* or that other property which is related in an appropriate way to *S*.)

Dignāga made three major contributions. First, he centered his account of inference around the distinction between inference for oneself (*svārthānumāna*) and inference for others (*parārthānumāna*). Second, he more precisely formalized the requirement that the *hetu* of a satisfactory inference must satisfy three conditions (*trairūpyahetu*): (i) it should occur in the case under consideration; (ii) it should be present in a similar case; and (iii) it should not be present in any dissimilar case. Pervasion is then defined in terms of the last two of these three conditions. Third, he devised his "wheel of reasons" (*hetucakra*), a matrix to classify pseudo-reasons in terms of the last two forms of the *trairūpyahetu.*

Dharmakīrti (7th century) built upon Dignāga's work, introducing two particularly important innovations (Stcherbatsky 1962, Matilal and Evans 1986, Hayes and Gillon 1991, Matilal 1998). First, he claimed that there is a kind of necessity to the *vyāpti* relation, a necessity that is grounded either in causation or in identity. Second, he brought within the scope of inference knowledge of absences, or negative facts.

The modern period of Indian logic is the period of Navya-Nyāya (Ingalls 1951, Geokoop 1967, Matilal 1968, Guha 1979, Potter and Bhattacharyya 1992, Wada 1990, Phillips 1995, Matilal 1998). The most influential work of this school is certainly Gaṅgeśa's prodigious *Tattvacintāmaṇi* (14th century). The next most eminent Navya-Naiyāyika is Raghunātha Śiromaṇi (16th century), who further refined the analytical tools of Navya-Nyāya and introduced a number of ontological innovations. The Navya-Nyāya philosophers developed a powerful technical language which became the language of all serious discourse, an intentional logic of cognitions (*jñāna*)

increasingly construed by most Indian philosophers as being independent of the realist metaphysics of Nyāya-Vaiśeṣika.

Indian philosophical concerns with language were very much connected with the early development of Sanskrit linguistics (Staal 1988, Bronkhorst 1986, Matilal 1990, Coward and Raja 1990). Indeed, the Sanskrit grammar of Pāṇini (c.350 BCE) became a paradigm for Indian philosophers in a way comparable to the way Euclid became one for Western philosophers. Accordingly some of the concerns of classical Indian philosophy of language are closely wedded to the peculiarities of the Sanskrit language. But Indian philosophers (and linguists) also concerned themselves with more general issues, particularly theories of meaning (Raja 1969, Deshpande 1992, Houben 1997, Ganeri 1999). The very different metaphysical commitments of the different Indian philosophers meant that they espoused a wide range of views on topics like reference and existence, the relations between word meaning and sentence meaning, literal and metaphorical meaning, and the nature of the signification relation.

The selections in this volume begin with a useful introduction to Indian logic by Hamblin, emphasizing its original twofold nature as a theory of fallacies as well as a theory of inference. The earliest Western scholars of Indian logic, however, were much more concerned with the Indian ”syllogism”, often misattributing its development to an early Greek influence. The piece by Randle tries to present the Indian inference schema in a broadly ”syllogistic” fashion, though Randle is also careful to note various important differences between Indian and Western logic and the limitations of the syllogistic parallels. Staal's article on the concept of *pakṣa* in Indian logic emphasizes how misleading it can be to conflate the *pakṣa* of an Indian inference with the minor term in a Western syllogism and stresses that in Indian logic an entity is never regarded in isolation, but always as occurring in a locus. Staal's succeeding article clearly demonstrates that the law of contradiction was widely accepted by Indian philosophers. He also discusses two types of negation recognized and analyzed in Mīmāṃsā in connection with the logic of injunctions.

The article by Gillon and Love presents Buddhist logic through a detailed analysis of the structure of argumentation illustrated and sometimes described in a sixth century manual, Śaṅkarasvāmin's *Nyāyapraveśa*. Gillon and Love thereby attempt both to exhibit a new approach to Indian logic and to provide a rudimentary exposition of it, conceiving of their task as analogous to a linguist's articulation of the structure of a language of which she is not a native speaker. The result is a multi-levelled account which utilizes analytical tools drawn from mathematical logic, linguistics and game theory.

The rich tradition of Navya-Nyāya is represented here by two selections. Bhattacharyya's article on the technical language of Navya-Nyāya provides detailed accounts of some of the key notions in terms of which all cognized structures are to be analyzed and rigorously described (see also Bhattacharyya 1987). One of the special features of Navya-Nyāya is their complex account of four types of negation (Matilal 1968), and the article by Shaw is a detailed discussion of the corresponding sixteen types of double negation recognized in their system.

The controversial question of what sort of necessity the Indian logicians implicitly recognized is addressed by the next three selections. Indian inferences rest on an inductive general premise (the *vyāpti*) and the Western notions of formal validity and logical necessity do not seem to be present in Indian logic. Some scholars have suggested that the Indian recognition of logical principles like the laws of contradiction and excluded middle is evidence for the presence of the concept of logical truths or necessity (Matilal 1982). Sibajiban's paper takes a different tack, arguing in effect that we can find in Indian logic the notion of an inference schema whose instances would all be valid inferences. Just as the knowledge of the specific nature of the middle term is unnecessary for a Western syllogistic inference, so too is the specificity of the *hetu* unnecessary for an Indian inference. All we need is a term with which the *sādhya* ("major term") is invariably copresent. But then we have either an a priori inference rule, or a purely formal schema whose every substitution instance is a valid schema.

Mohanty favors a different approach to the matter, reminding us that Indian logic is a logic of cognitions (*jñāna*), not of propositions. Hence it is not concerned with the compatibility or incompatibility of propositions, but rather with the compatibility or incompatibility of awareness episodes in virtue of their contents (see also Mohanty 1992). This explains the Indians' lack of interest in purely formal necessities. What the Indian logicians offer us instead is a challenging theory of inference that is both a logic and a psychology of inference, without being psychologistic in any pejorative sense.

Yet another approach is to find evidence for an Indian sensitivity to logical possibility and logical necessity in their use of *tarka,* a concept discussed in Davis' article. *Tarka* in Indian logic is a subjunctive conditional of the form *"lip,* then *q",* where *p* and *q* are both false (Bagchi 1953, Chakrabarti 1992). Such conditionals are frequently utilized by Indian philosophers in *reductio*-type arguments. But for the implicit *modus tollens* to work, the Indians presumably required too some conception of a connection between two unrealized (logical) possibilities.

Something of the Jaina tradition of logic is introduced by Matilal's piece on *anekānta* (see also Matilal 1981). The Jaina logicians made many important contributions to the development of Indian logic, especially during the medieval period. Their most famous logical doctrine is the sevenfold predication (*sapta-bhaṅgī*), according to which no predicates can be absolutely true of an object. This in turn reflects their metaphysical relativism (*anekānta* or *syāvāda),* which the Jainas staunchly defended against charges of irrationality and incoherence.

An excellent overview of Indian concerns with language is provided by Staal's wide-ranging survey, which discusses the contributions of both grammarians and philosophers. Brough's seminal article discusses the details of some Indian theories of meaning, including competing views about the relation of word meaning and sentence meaning, and about literal and metaphorical meaning (see also Raja 1969, Murti 1974).

Matilal's piece on reference and existence introduces an important debate between Nyāya and the Buddhists about the "riddle of non-being"

(Siderits 1991, Chakrabarti 1997). The Nyāya realists treat sentences involving empty referring terms as complex, and their simple parts as standing for real elements. Sentences like "The rabbit horn does not exist", which apparently refer to non-existent entities, are translated into sentences like "There is no relation between the rabbit and a horn", which refer only to entities that are reals according to Nyāya metaphysics. The Buddhists, committed to the momentariness of all existents, favor instead a "pan-fictional" approach which allows that the unreal entities of non-referring expressions can also be the objects of cognitions.

The article by Matilal and Sen intriguingly connects some Indian debates about the relations between word meaning and sentence meaning with some modern Western debates about contextualism, compositionality and meaning (see also Siderits 1991, Mohanty 1992). They argue that some of the philosophical issues raised by Frege's context principle were similar to the issues raised by the controversy between the Bhāṭṭa and Prābhākara Mimāṃsakas about how we grasp the meaning of a sentence.

Siderits' paper on the sense-reference distinction in Indian philosophy of language begins from the received opinion that the Indians did not posit sense as a component of the meaning of an expression in addition to reference. However, Siderits goes on to argue that their commitment to semantic realism forces upon philosophers as different as Dharmakīrti and the Prābhākaras a recognition of something sense-like, and that from them we learn something important about the motivation for the sense-reference distinction.

The Herzbergers' paper discusses some themes in the Grammarian philosopher Bhartṛhari (Houben 1995). "Bhartṛhari's Paradox" is generated by the problem of how to state the unnameability thesis (i.e. the thesis that there are some things which are unnameable). The paradox is that any positive instance of the thesis that might be offered as verifying it seems to involve naming what is declared to be unnameable. The Herzbergers offer some arguments of their own for the unnameability thesis, but each of these arguments also turns out to paradoxically undercut its own conclusion. If we accept that no relation can be one of its own relata, then not only is the

inherence relation unnameable, but the significance relation is unsignifiable and the denoting relation undenotable.

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The Indian Tradition

Despite large and obvious differences, the history of Indian Logic runs curiously parallel with that of the Logic of Europe, at least in its classical and medieval periods; so much so that one is tempted to see the two as advancing side by side, rather than separately. So far as the classical period is concerned we may, in fact, have tended to underestimate the extent of the contact between India and Greece; for though no one now maintains, as some historians have argued,[1] that Indian Logic was directly inspired by Aristotle, or even that influences in either direction can be definitely traced, it is known that there was considerable commerce between the two regions. Aristotle's most famous pupil Alexander had, after all, penetrated to India in the course of his military ventures, though it is doubtful that he found time to lecture the inhabitants on Logic. There were subsequently Greek settlements on the north-west frontier, and it would be surprising if there were not some interpenetration of ideas. Later, with the rise of Mohammedanism, these ties were broken, and India and Europe were held apart by a civilization largely hostile to both. The Arabs, it is true, helped to preserve the European tradition to some extent by taking over Aristotle's works in translation; but they did not themselves discover the Indian Logic and, in fact, the Moslem invasion of India nearly caused its extinction. Many of our modern Sanskrit texts are re-translations from versions that survived in Tibet. We can also study such doctrines as went with Buddhism to China.

The actual authors of the earliest Indian treatises are dim, shadowy figures and it is difficult to date their works even approximately. The most important text, the *Nyāya sūtra* (to a sufficient approximation the name means just 'Logic Book'), was supposedly written by one Gautama or Akśapeda (two persons or one?) at some time during the first three centuries

A.D.; but it could be a compilation, and one part of it, the fifth book, which will occupy us later, has some parallel in the work of the physician Caraka, who is placed about A.D. 70. It is quite short – about 12,000 words altogether in English translation – and aphoristic in style, to the extent that it needs to be accompanied by a detailed commentary. A commentary by Vātsyāyana (5 th–6th century ?), author also of the *Kama sūtra*, is very often printed with it.[1]

Before considering what Gautama and Vātsyāyana say about Fallacies it is necessary to sketch their theory of inference. This betrays a 'dialectical' origin almost as strongly as Aristotle's *Topics*. A single pattern of inference is given, without moods or figures. An inference has five members. Illustrated by the stock example of later writers, they are:

(1) (Thesis): 'The hill is fiery.'
(2) (Reason): 'Because it has smoke.'
(3) (Example): 'Whatever is smoky is fiery, like a kitchen.'
(4) (Application): 'And this hill is smoky.'
(5) (Conclusion): 'Therefore it is fiery.'

Since Gautama calls (3) just 'Example', it seems likely that, in the illustration, the statement of a general rule, 'Whatever is smoky is fiery', is a later importation: the original idea is simply that an example of the operation of the (unstated) connection between the major term 'fire' and middle term 'smoke' should be given. If this seems strange, comparison with Aristotle *Rhetoric* (1393a 22–1394a 18) might be helpful. In general the aim of this theory of inference is much closer to Aristotle's aim in his *Rhetoric* than it is to what we are used to and which derives from the *Prior Analytics*. Gautama defines an 'example' as a 'case in which the common man and the expert agree': in this case there is some resemblance to Aristotle's definition of dialectical or examination arguments.[1]

The apparently useless repetitive character of (4) and (5) led to their being dropped by some later writers. Their presence is less surprising, however, if the whole inference scheme is seen as a *pro forma* for the

setting-out of inferences in practice, with an aim of securing comprehension in an audience or persuasion of an opponent. Here it is interesting that we are told by Vātsyāyana in his commentary that others raised the number of members of the syllogism to ten, by adding the 'desire to know', 'doubt', 'belief in possibility of solution', 'purpose in view in attaining the conclusion' and 'removal of doubt'. If these are interleaved with the other five we have the pattern of a veritable dialogue, in which the added members represent the reactions or contributions of a second participant. We could dramatize the situation something as follows:

A The hill is fiery. (*Thesis*)

B Why ? (*Desire to know*)

A Because it is smoky. (*Reason*)

B Does that follow ? (*Doubt*)

A As in the case of a kitchen. (*Example*)

B Oh, I begin to see! (*Belief in possibility of a solution*)

A And, you see, this hill is smoky. (*Application*)

B Now we are getting somewhere. (*Purpose in view in attaining the conclusion*)

A So the hill is fiery. (*Conclusion*)

B Of course! (*Removal of doubt*).

The scheme is artificial at some points, as witness the vapidity of the remarks I have had to write in for the second speaker. However, there can now be little doubt that Gautama's scheme is aimed at representing the *presentation of an argument to others*; that is, at Rhetoric or Dialectic, not pure Logic.

A number of writers from the fifth and sixth centuries made a distinction between *svārtha*, 'inference for oneself', and *parārtha*, 'inference

for others', the former being possibly non-verbal. The distinction passed into the Indian logical tradition, which only much later, and then incompletely, developed a 'pure' Logic with a detachment from practical application, of the kind that has been dominant in the West.

The apparently repetitive character of the fourth and fifth members of Gautama's syllogism has been justified in another way. A tenth-century logician, Vācaspati Miśra, wrote[1]

> The *Conclusion* thus is not the same as the *Thesis:* the latter puts forward the fact only tentatively, as requiring confirmation by the reasoning with the aid of the *Reason* and the *Example*, while the former puts it forward as one fully established, and thus precluding the possibility of the truth being contrary to it. This cannot be done by the *Thesis*; as, if it did, then the rest of the members would be entirely futile.

Is a tentative thesis of the same 'form' as an established conclusion ? Jhā sees their identification as the source of the paradox that every syllogism is question-begging, and the distinction between them as resolving it.

Turning now to fallacies, it will be enough to discuss, first, the treatment given by Gautama in the *Nyāya sūtra* and, second, the gradual change that took place in the tradition thereafter.

Gautama refers his fallacies to the 'reason', or second member of his syllogism. Vātsyāyana says that fallacious reasons 'are so called because they do not possess all the characteristics of the true reason, and yet they are sufficiently similar to the true reason to appear as such'. Gautama briefly and without detail or justification lists five classes of them. (1) First, a reason may be 'erratic' or 'inconclusive': Vātsyāyana's example is 'Sound is eternal because it is intangible', where in fact some intangible things are eternal and some not. (2) A reason may be 'contradictory' if it is in contradiction to something the proponent has already accepted or is known to hold. Vātsyāyana gives the example of two Yoga doctrines 'The world ceases from manifestation, because it is non-eternal', and 'The world continues to exist, because it cannot be utterly destroyed': these cannot both be right, and once

the first is accepted the second is fallacious, since its reason contradicts the earlier reason. (3) A reason may be 'neutralized' if, instead of leading to a decision about the thesis, it leaves matters undecided. It may do this because it is actually only a repetition of the thesis, and Vātsyāyana's example (p. 90) is 'Sound is non-eternal because we do not find in it the properties of the eternal thing'. (4) A reason may be 'unknown' or 'unproved'. 'Shadow is a substance, because it has motion' is of this character, says Vātsyāyana (p. 92), because it is not known whether a shadow has motion: 'Does the shadow move, like the man? or is it that as the object obstructing the light moves along, there is a continuity of the obstruction...?' (5) Finally, a reason may be 'inopportune' or 'mistimed'. What Gautama means by this it is impossible to guess, but if commentators are to be believed it could be something to do with the fact that thesis and reason, as tensed statements, are true one at one time and one at another but not both together, as with Boethius's Fallacy of Different Time. Alternatively it could be just that the members of the syllogism are in the wrong order and, perhaps, that the thesis proves the reason rather than vice versa.

This list of five classes of fallacy formed the basis of various elaborated classifications of later writers, much in the way Aristotle's list did in Europe. If we suspend consideration of the impenetrable fifth one they are all, in a broad sense, 'formal': either the never-stated major premiss, the rule that is needed to justify the passage from reason to thesis, is false, or it is tautological, or the reason itself is unproved or elsewhere contradicted. It is true that some of the objections would not have been classified as 'formal' in the sense required in the West and which derives from Aristotle's *Prior Analytics*: the first class would be simply a case of false (suppressed) premiss, the second would be a case of a possibly-valid inference open to objection *ad hominem,* and the other two would be varieties of question-begging. None of them, however, involve variations in the meanings of words or phrases as in Aristotle's Fallacies Dependent on Language, and the kinds of dialectical irregularity that are involved are of a kind that can easily be provided with a formal analysis.

The *Nyāya sūtra*, however, also has a good deal to say about other kinds of logical fault or error. The section on fallacies had started out with a definition of three kinds of 'controversy'; namely, (1) Discussion, which is (p. 80) 'the putting forward (by two persons) of a conception and counter-conception, in which there is supporting and condemning by means of proofs and reasonings ... carried on in full accordance with the method of reasoning through the five members'; (2) Disputation, which is discussion 'in which there is supporting and condemning by means of Casuistry, Futile Rejoinders and Clinchers'; and (3) Wrangling, which is disputation that is inconclusive. From the order of treatment it appears that the fallacies we have so far been discussing are such as occur primarily in the first of these three kinds of controversy and, though to be condemned, are of a lesser order of evil than what follows. Disputation and Wrangling, we are told, may be employed to keep up our zeal for truth 'just as fences of thorny boughs are used to safeguard the growth of seeds', and are of use against people who will themselves not argue properly.

Casuistry is of three kinds, of which the first is no more nor less than Equivocation, though the examples that Vātsyāyana gives of it make it equivocation of a particularly trivial kind: the word *nava* means alternatively 'new' or 'nine', and when someone says 'That boy has a new blanket' the casuist says 'No, not nine blankets, only one'. He goes on, however, to mention the circumstantial ambiguity of words, with examples like those of Sextus (p. 98):

> ... when such expressions are used as – 'take the *goat* to the village,' 'bring *butter*', 'feed the *Brāhmaṇa*' – every one of these words ('goat', 'butter' and 'brāhmaṇa') is a general or common term and yet it is applied, in actual usage, to particular individuals composing what is denoted by that term; and to what particular individuals it is applied is determined by the force of circumstances;...

The casuist can put the wrong *denotation* on a word, and this is to be regarded as equivocation also.

The second kind of Casuistry is 'Generalising Casuistry', which consists in taking a speaker's words more generally than he intended them, and is slightly reminiscent of *Secundum Quid.* Someone who says 'Learning and character are quite natural to a *Brāhmaṇa*, does not necessarily intend 'delinquent' *Brāhmaṇas*, those who have not gone through all the rites and ceremonies, to be included and it will be casuistical to take him as doing so. The third kind of Casuistry is 'Figurative Casuistry' which consists in shifting the primary meaning of an opponent's words. Vātsyāyana discusses in some detail the difference between the first and the third.

The Nyāya sūtra's *Classification of Controversy*
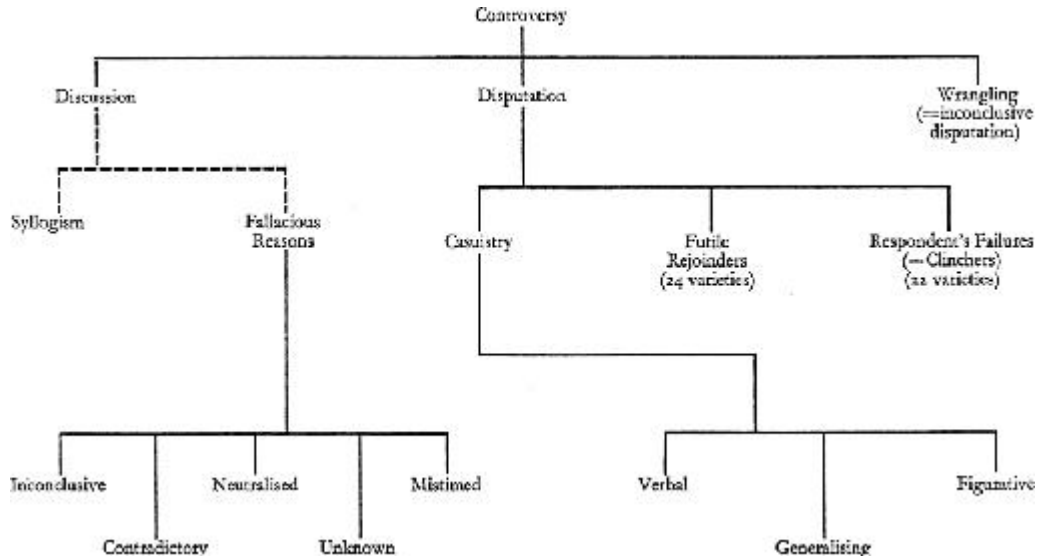
What Jhā translates as 'Futile Rejoinders' and 'Clinchers' are dealt with in the *Nyāya sūtra*'s last, fifth book which has sometimes been regarded – on what evidence I do not know – as written independently of the rest. This part of the book has had a bad press, for reasons we shall explore in a moment; but its aim has clearly been misunderstood, and we shall find a syndrome that is by now familiar from our study of the fate of the early Aristotle. The list (pp. 502 ff.) of twenty-four 'Futile Rejoinders' – the translation seems a little exotic, since the Sanskrit word is just *jāti* – is a list of ways in which a piece of syllogistic reasoning may be 'equalized': that is, of ways in which an opponent may bring arguments that balance or neutralize the original reasoning without challenging it on its own ground,

in the way the author would consider proper. The twenty-two 'Clinchers' (pp. 540 ff.) – the word is *nigrahasthāna* which has sometimes been translated 'Respondent's Failures' are ways in which the *proponent* of a thesis can spoil his case with dialectical shortcomings. The two lists can be seen as complementary if we imagine them as a manual of debating tactics, and as setting out possible dialectical faults of the opponent and proponent, respectively, in a debate. Stcherbatsky, in his well-known book on Buddhist Logic, does not mention the first list at all but says of the second[1]

> The Manual on the Respondent's Failures was evidently a manual for the judge, its composition the result of a long experience in the practice of the art of debating, which resulted in the establishment of a system of type-instances and laws regulating the debate.

The term 'respondent', borrowed from the Western tradition, presupposes a question-and-answer form of debate which may or may not have been usual; and there is no direct reference in Gautama or Vātsyāyana to a 'judge'. Nevertheless this properly represents the tone of the fifth book.

The 'Futile Rejoinders', necessarily too briefly described to do them full justice, and with the omission of a few which are obscure or repetitious, are as follows:

[1and 2] argument for a contrary of the thesis (i.e. without destroying the original one),
[3] arguing that the example proves other things as well,
 [4] arguing that the subject of the thesis lacks some properties of the example,
[5and 6] arguing that the property in question is uncertain in the example, or less certain than in the subject,
[7] arguing that the example is contingent,
[8] presenting the example as equally well to be proved from the thesis (i.e. the claim that the example begs the question),
[9and 10] arguing that the reason is 'united with' the thesis, and cannot prove it; or that it is unconnected with it, and cannot prove it,

[11] arguing that the reason is itself in need of proof,

[14] independently throwing doubt on the thesis,

[17] arguing by *reductio ad absurdum*, on the presumption of consequences the proponent might not grant,

[18] objecting generally to the method of argument by example,

[20] arguing that the thesis is in fact known to be false,

[21] (perhaps) arguing that the thesis is not known not to be false.

It will be seen that even arguments quite good in themselves, as in [1] and [2] and, above all, [20]!, are regarded as 'futile' when they come *in answer to* the original reasoning. This does not mean, presumably, that the opponent should not put them forward but only that, in neutralizing the original reasoning, they are themselves neutralized as well. It is not the opponent's job to establish a counter-thesis at all.

'Clinchers' or 'Respondent's Failures' are easier to summarize: the following list partly follows Stcherbatsky. The proponent of an argument *may* be criticized for:

[1] annihilating his own thesis by an unsuitable example,

[2] shifting to another thesis,

[3] giving a reason that contradicts the thesis,

[4] abandoning the thesis,

[5] changing the reason originally given,

[6] irrelevancy,

[7] giving meaningless sounds as a reason,

[8] giving an assertion that is unintelligible even though stated three times,

[9] giving a syllogism such that there is no connection between the members,

[10] stating the members in the wrong order,

[11, 12] reasoning that is incomplete, or redundant,

[13] repetition,

[14, 15] failure to restate, or understand, opponent's objection,

[16] admission of ignorance,

[17] breaking off the debate (thus conceding defeat),

[18] admission of a flaw in his reasoning,

[19, 20] neglecting to rebuke the opponent when necessary, or doing so when not necessary,

[21] irregular discussion.

[22] fallacious logical reasons.

Only a few comments need be made on these lists, which reveal a preoccupation with orderly debate as strong as anything in Aristotle. The first concerns item [22] of the second list, whose inclusion is quite out of place with the classification-scheme suggested earlier by Gautama and is perhaps evidence of separate origin, though it could as easily be due to a conflict between two conceptions in the mind of a single writer. The second is the startling similarity between some of the individual items and some of Aristotle's. Two hypotheses are possible: that there was contact between, or a common origin of, the two traditions; or that formal debate is an important or necessary ingredient of any intellectual culture at a certain stage of its development, and is the driving force behind the development of Logic. They are not, of course, mutually exclusive.

The precise shape that formal debate took at the time of the *Nyāya sūtra* can be only dimly guessed at. There do exist records of formal debates from Buddhist sources at an earlier period, the reign of King Aśoka, about 255 B.C.[1] They seem to consist of phases in which the two disputants alternately take the floor, and each phase consists of the statement of a single argument, perhaps preceded by a number of clarificatory questions addressed to the opponent. I quote (with my own minor amendments) the first two phases of a debate between monks of rival views concerning the reality of the soul:[2]

PRESENTATION

Sceptic   Is the soul known in the sense of a real thing ?

Substantialist Yes.

Sceptic   Is the soul known in the way a real thing is known ?

Substantialist No, that cannot be said.

Sceptic   Acknowledge your defeat:

(i)   If the soul is known in the sense of a real thing, then, good sir, you should also say that the soul is known in the way a real thing is known.
(ii) What you say is wrong, namely (*a*) that the soul is known in the sense of a real thing, but not (*b*) known in the way any other real thing is known.
(iii) if *(b)* is not admitted (*a*) cannot be admitted either.
(iv) In admitting (*a*) but denying (*b*) you are wrong.

REJOINDER

Substantialist Is the soul not known in the sense of a real thing?

Sceptic   No, it is not.

Substantialist Is it unknown in the way a real thing is known?

Sceptic   No, that cannot be said.

Substantialist Acknowledge the rejoinder:

(i) If the soul is not known in the sense of a real thing, then, good sir, you should also say that the soul is unknown in the way a real thing is known.
(ii) What you say is wrong, namely (*a*) that the soul is not known in the sense of a real thing, but not (*b*) unknown in the way a real thing is known.
(iii) If (*b*) is denied (*a*) cannot be admitted either.
(iv) In admitting (*a*) but denying (*b*) you are wrong.

A judge, elected by the assembly (of monks), presides. Whether this is the kind of debate Gautama had in mind remains, however, conjectural.

Most of the works written directly in the Nyāya tradition are actual commentaries on the *Nyāya sūtra*, or commentaries on commentaries. Some of them ring changes on the doctrine without fundamentally altering it. Many invent, like Aristotle's commentators in medieval times, elaborate fine subdivisions of the various categories and, at the hands of Uddyotakara (seventh century), the original fivefold division of fallacies reaches the record grand total of 2,032 subdivisions. We need not investigate these subtleties. Many of the histories subdivide the tradition by religious groupings, so that we are presented in the sixth century with the separate 'Logics' of Praśastapāda (Hindu, Vaiśeṣika tradition), Siddhasena (Jain), and Diṅnāga (Buddhist), but the divisions refer more to epistemological doctrines than to the purely logical topics that here interest us.

Diṅnāga is the most original of these writers and must here do duty for the others. Although he is not uninterested in controversy his theory of inference displays a move away from Dialectic: his 'syllogism' drops the last two members, leaving only *Thesis, Reason*, and *Example,* though he adds the concept of a *Counter-example* in an attempt to eke out the deficiencies of this argument by analogy: 'The hill is fiery, because it is smoky, like a kitchen, unlike a lake'. It is not clear whether the Counter-example is meant to support the converse of the general argument or merely the contrapositive. He explicitly rejects Testimony as a basis of argument. On fallacies he gives a fourteen-fold classification of defects that is completely formal in character and tied to his theory of the syllogism: fallacies may infect the thesis, the reason or the example, and these in various ways. The reason, for example, may be 'too wide' or 'too narrow', the reason or example may themselves be uncertain, and so on. Diṅnāga does not attempt to classify controversy as the *Nyāya sūtra* does, does not mention Casuistry, gives a list of only some of the Futile Rejoinders, and ignores Respondent's Failures.

Not only in Diṅnāga, but even in such of his contemporaries and successors as remained close to the Nyāya teachings, the second or 'contradictory' category of fallacy ceased to represent the circumstance of an opponent's contradicting his own doctrines and came to represent the

Fallacy of giving a reason that tends to contradict, rather than support, the proffered thesis. Hence, this too became formal in character. The obscure fifth category of fallacy was variously interpreted but tended to become a rag-bag of cases in which the truth of one or another member of the syllogism was regarded as questionable for extraneous reasons.

The move towards a formal, deductive logic continued after Diṅnāga, and Uddyotakara gave a version of the syllogism in which the Example was at last replaced by the statement of a general rule. The final turning-point came in the fourteenth century with the work of Gaṅgeśa and the growth of what has become known as the *Navya Nyāya*, or New *Nyāya*, school. Gaṅgeśa mentions Casuistry, Futile Rejoinders, and Respondent's Failures only to criticize them, and this seems to be the last point in the history of Indian Logic at which they have seriously been considered at all.

The development of Logic out of a theory of debate, and its ultimate repudiation of its origins, thus seems ultimately to have taken the same course in India as in the West. That the classical Indian list of fallacies, like that of the West, is still studied despite the loss of its principal rationale is support for the view that the study of fallacies in both places has a function different from its ostensible one.

[1] Vidyābhūṣaṇa, *A. History of Indian Logic*, Appendix B.

[1] I have used mainly *Gautama's Nyāyasūtras,* in the Jhā edition, which also contains Vātsyāyana's commentary; and have supplemented it with some of the extracts given in Bocheński, *A History of Formal Logic.* I have altered terms here and there where it was necessary to bring the translations into correspondence; on the whole preferring Jhā.

[1] *Sophistical Refutations,* 165b 4. Roger Bacon produces a startlingly similar phrase in defining dialectical probability: 'The probable is that which seems the case to everyone, and about which neither the crowd nor the wise hold a contrary opinion': *Sumule dialectices*, p. 313.

[1] Quoted by Jhā, *Gautama's Nyāyasūtras*, p. 72, from the *Tātparya.*

[1] Stcherbatsky, *Buddhist Logic*, p. 340.

[1] See Vidyābhūṣaṇa, p. 234.

[2] Vidyābhūṣaṇa, pp. 235–6, quotes from the *Kathāvatthu;* see also Bocheński, p. 421.

IV.—A Note on the Indian Syllogism

H. N. Randle

THE western syllogism has the appearance of having sprung all at once into existence, from the head of Aristotle, clad in complete mail. It has about it no marks of the labour of thought which brought it to birth, and seems more like a work of art than an organism with an evolution behind it. The Indian 'syllogism,' on the other hand, is an organism with its history plainly recorded in its structure: an untidy organism, too, with vestigial structures and rudimentary organs which are changing their functions while preserving more or less of their primitive form. And for this reason, perhaps, it may have something to tell us about the 'morphology' of thought which is not so transparently conveyed by the more perfect work of art, the Aristotelian syllogism. The more untidy organism may therefore repay study.

The Indian syllogism has neither Mood nor Figure.[1] It has what can be recognised as *corresponding* to the three terms of the Aristotelian syllogism. The 'major term' is denominated the Probandum, and the 'Subject' (or 'minor term') is defined as "that which has the Probandum doubtful."[2] What corresponds to our middle term is called by various names signifying Probans, Mark, Reason. But the Indian logician does not abstract M and P from their concrete embodiments; and he therefore distinguishes SM, or the Probans as it occurs in the Subject or minor term, from XM's, *i.e.*, the Probans as it is found in other concrete cases. And this becomes important in the case of an unlimited probans such as 'existence' or 'knowability'; or again in the case of a probans which is a peculiar property of the Subject, as 'audibility' when used to prove some conclusion about 'sound'. For, in the

former case, there are no X non-M's, and in the latter there are no XM's: which, on the Indian view of syllogism as an argument from Examples, casts a doubt on arguments employing such Probans.[1]

It is convenient to use symbols, and the familiar S, M, and P will serve: but the Indian logician did not use them, and they tend to misrepresent his point of view. The appellations major, minor, and middle term, are also misleading, at any rate in speaking of the earlier logic. The earlier[2] Indian logician never considers the distribution and quantification of the terms in the syllogism, and the way of regarding subsumptions which is exemplified in Euler's circles, and which is second nature to us trained in the formalism of Western school logic, does not seem to have entered into his account of syllogism. The whole business of conversion and immediate inference, essential to our formalism, is unknown to Indian logic, so far as I am aware. It is therefore a mistake to equate the Indian logician's list of fallacies with our Undistributed Middle, and Illicit Process. And because his syllogism has no doctrine of Figures[3] it is undesirable to equate his arguments with Barbara, Celarent, etc.

After this statement of what Indian logic is *not*, it might seem that there is little left for it to *be*, at any rate as an 'art'; and it might seem that it can have no content worth mention. How could such a logic provide Rules and Canons of syllogism or any criteria for distinguishing valid from invalid subsumption ? The doubt may seem to find confirmation in memories of the Indian syllogism as quoted (quite correctly) in some of our manuals of logic —a cumbrous affair of five propositions, two of which seem vain repetition, while the 'major premise' is stated in an apparently unnecessary double positive-negative form, and supported by examples always—apparently— superfluous, and sometimes puerile.

1. That hill is on fire,
2. Because it is smoking;—
3. As smoke and fire go together, on the hearth, while non-smoke and non-fire go together, in the lake,
4. So here: [so *not* here:]

5. Therefore is that hill *so, i.e.,* on fire.

(The reference of course is to forest fires in the mountains.)

That seems to have been the early form of the syllogism[1] —a *paradeigma* or argument from particular to particular through likeness or unlikeness; and yet on its way to becoming an explicit 'deduction' from a universal connexion, or *vyāpti*, 'Pervasion' of smokiness by fieriness. This element of *vyāpti* later came to be more and more emphasised, until the example got the appearance of an excrescence, although always retained as an element in the third member of the five-membered syllogism. The third member then took the form:—

> All that is smoky is fiery, as the hearth; and all that is not fiery is not smoky, as the lake.

That is, the element of analogy is now obscured, for the 'so'[2] of the fourth and fifth members no longer appears as correlative of the 'as' in the third member, but as a mere demonstrative standing for the M and P of (what is now) the major premise. And the third member has now crystallised into a formula with the order of terms fixed:—

> All M is P … and All non-P is non-M.

It is in this developed form that the Indian syllogism is quoted in European books. The European reader then says to himself: "This of course is a combination of a syllogism in *Barbara* with a syllogism in *Cesare:*—

> All that is smoky is fiery
> This hill is smoky
> Therefore it is fiery
> *and*
> Nothing that is not-fiery is smoky
> This hill is smoky
> Therefore it is not non-fiery, *i.e.,* it is fiery.

One of these syllogisms is unnecessary: the two examples are superfluous: and the first two members are identical with the last two and serve no purpose."

All these three criticisms have been anticipated by Indian logicians. As regards the last, a distinction was made between 'inference for oneself' and 'inference for another' (*i.e.,* the setting out in words of a reasoned belief for the instruction of others), and the five-membered syllogism was by some logicians confined to 'inference for another'.[1] Ordinarily all schools state their inferences with the utmost possible brevity, in the form: "The hill is on fire, because smoky; like the hearth." But it will be noted that the *example* is retained, even in this abbreviated form.[2] The third member was always called, not after the statement of concomitance which it contained, but after the *illustration* of that concomitance included in it: that is, it was known as the *Example* (*udāharana*). The five members of the full syllogism were called (1) the Proposition, (2) the Reason, (3) the Example, (4) the Application, (5) the Conclusion.[3] For us it is the 'major premise' that conveys the relation of the middle to the minor; for the Indian logician it was always the 'Example' that carried this function.

And that is why (to revert to the second of the three criticisms brought against the Indian syllogism) the third member has the double positive-negative form. It certainly would be superfluous to state *in a 'major premise'* not only that All men are mortal but also that No immortals are men; because, as the Indian logician was well aware,[4] the one form implies the other. But so long as the weight of your argument is felt to be carried by the *example*, the case is different: and it is now necessary to give two examples, one of positive concomitance of M and P, and the other of negative concomitance—one an XMP, the other an X non-M non-P. For an example of positive concomitance *alone* proves nothing: but if an example of negative concomitance is adduced at the same time, then, *under certain conditions* your *paradeigma* may amount to a demonstration of the conclusion.

What are these conditions ? How far was the Indian logician able to formulate them without that apparatus of mood and figure and distribution of terms which constitutes formal logic for the western schoolman? Is there

any way of laying down syllogistic canons other than that of the Dictum de Omni et Nullo?

If Example is made the nerve of demonstration, the validity of the argument will obviously depend on whether or not a concrete *enstasis*, or 'instance' in the shape of a *counter-example*, is forthcoming. The material with which logic, so conceived, would work, would be Positive Examples (MP), Negative Examples (non-M non-P), and 'Instances' in either of two forms (M non-P, and non-MP). And the Canons of the syllogism, conceived thus as an affair of Examples and Counter-examples, would consist in a statement of *what examples, in the absence of what 'instances*,' will establish a valid conclusion.[1] Such Canons are to be found in a doctrine of the Three Characteristics of the Reason (*trirūpahetu*) formulated both by the Buddhist logician Dignāga[2] and the orthodox philosopher Prasastapāda, perhaps about 400 A.D.; and passing through their formulations into the general logical stock-in-trade of the Indian schools.

The three characteristics which the middle term must have are:—

1. It must reside in the Subject.[3]
2. It must reside in Positive Examples only.[1]
3. It must be only[1] absent in Negative Examples.

The formulation of the Second and Third Canons is a clear case of botching, and the double use of 'only' is where the botching comes in. And the word *only* in both cases may well be the addition of a botcher who was trying to make a *paradeigma* do what it by its very nature could not do, *i.e.*, give a guarantee that no contrary case *could* be produced. You cannot prove '*only*' by examples. The utmost you can do is to challenge an opponent to produce his contrary case, his XM non-P, yourself producing cases of X non-P which are *non*-M. When you have done this you have exhausted the possibilities of your method. Experience has shown MP's. It has *not* shown M non-P's. On the contrary it shows non-M non-P's. And there you have the natural Canons of a syllogism which remains an affair of examples and counter-examples.

Of course there is an inclination to interpret the *Trairūpya*, the Three Characteristics, in terms of the *Dictum de Omni et Nullo*, as an affair of 'distribution of terms'; and I do not deny that there were tendencies in Indian logic itself towards the quantitative view embodied in the *Dictum*. And yet I think that the best way to understand the spirit of the *Trairūpya* is to forget the *Dictum*, and to interpret the Indian formulation of the syllogistic canons in the light of the original Indian conception of syllogism,[1] which had no terms and no notion of their distribution. It is in this light rather than in the light of the *Dictum* that we can best understand the List of Nine Valid and Invalid Types of Syllogism, contained in Dignāga's tract entitled the Wheel of Reasons Set in Order—the nearest approach that I know of in Indian logic to our *Barbara Celarent, etc.* The nine arguments represent all possible 'moods'[2] of the syllogism, invalid as well as valid—so that Dignāga's syllogism has at least the advantage of parcimony compared with ours. Two are valid. Five come under the head of *Inconclusive*.[3] Two come under the head of *Contradictory*.[3] The topic of all nine Types is the same—the eternity or transitoriness of sound: which means nothing to us, but was a much discussed question in the Indian schools. The nine arguments which follow will be found in a diagram facing page 100 of Dr. Vidyābhūsana's book. They are there arranged as follows; but I am not clear whether the arrangement in a square is Dignāga's or Dr. Vidyābhūsana's:—

<div align="center">The Wheel of Reasons.</div>

I.Inconclusive (unlimited).	II.VALID.	III.Inconclusive (too wide).
IV.Contradictory.	V.Inconclusive (too narrow).	VI.Contradictory.
VII.Inconclusive.	VIII.VALID.	IX.Inconclusive.

No. I. Sound eternal because an object of knowledge. (Inconclusive.)

Positive
example   Ether.[1]
XMP

Negative   (None is possible, for nothing can be quoted which is *not* an

Example	object of knowledge.)
Counter-Example XM non-P	A pot.

No. II. Sound non-eternal because produced. (VALID.)

Positive Example XMP	A pot.
Negative example X non-M non-P	Ether.
Counter-Example	(None is forthcoming.)

No. III. Sound an effect of effort or volition, because non-eternal. (Inconclusive.)

Positive Example XMP	A pot.
Negative example X non-M non-P	Ether.
Counter-Example XM non-P	Lightning.

No. IV. Sound eternal, because produced. (Contradictory.)

Positive Example	(None forthcoming.)
Negative Example	(None forthcoming.)
Counter-Example XM	A pot.

non-P

Counter-Example X non-MP	Ether.

(The two counter-examples provide the material for argument No. II., leading to the contradictory conclusion.)

No. V. Sound non-eternal, because audible. (Inconclusive.)

Positive Example	(None is possible in this Type, known therefore as 'the too restricted reason'. There is no XM, but only SM, since audibility is the peculiar property of sound.)
Negative Example X non-M non-P	Ether.
Counter-Example X non-MP	A pot.

(But of course no Counter-Example in the fatal form of XM non-P will be forthcoming, as there are no XM's. The case must be argued in the field of non-M's.)

No. VI. Sound eternal, because an effect of effort. (Contradictory.)

Positive Example	(None is forthcoming.)
Negative Example X non-M non-P	Lightning.
Counter-Example XM non-P	A pot.
Counter-Example X non-MP	Ether.

(The two Counter-Examples provide the material for argument No. VIII., leading to the contradictory conclusion.)

No. VII. Sound a non-effect-of-effort, because non-eternal. (Inconclusive.)

Positive Example XMP	Lightning.	
Negative Example	(None forthcoming.)	
Counter Example XM non-P	A pot.	
Counter-Example X non-MP	Ether.	

(Here the positive example prevents the two counter-examples from establishing the contradictory conclusion, as they do in No. VI., — so that the reasoning is merely inconclusive.)

No. VIII. Sound non-eternal, because an effect of effort. VALID.

Positive Example XMP	A pot.	
Negative Example X non-M non-P	Ether.	
Counter-Example X non-MP	Lightning.	

(A counter-example in the form X non-MP does not affect the validity of the argument. Contrast No. III. In the other VALID argument, No. II., there are no non-MP's, because, as we should say, the major premise is simply convertible, *i.e.*, all M is *all* P.)

No. IX. Sound eternal, because corporeal; (*or*, because incorporeal). (Inconclusive.)

Positive
Example   Atoms.
XMP

Negative
Example X   Action.
non-M non-P

Counter-
Example XM A pot.
non-P

Counter-
Example X   Ether.
non-MP

(If you take 'incorporeal' for the middle term, the counter-examples become the examples.)

Such a list underlines the fact that a counter-example in the form XM non-P is fatal whereas a counter-example in the form X non-MP does not matter: which *amounts* to saying that All M must be P and that All non-P must be non-M; whereas it is not necessary that All P should be M and that All non-M should be non-P. From the time of Prasastapāda and Dignāga the latter mode of formulation had established itself and the 'major premise' had crystallised into the two propositions with order of terms fixed and subject 'quantified'—All M is P; All non-P is non-M. But the other way of formulating the syllogism, by example and counter-example, was the original way, and it continued to survive alongside of the new method. Hence the double character of the Indian syllogism (in respect of its third member, the so-called 'Example'), and hence the rather confused combination in the *Trairūpya*, or syllogistic Canons, of the two points of view. That the syllogism still continued to be regarded as an affair of examples is evidenced by the interpretation commonly put upon the second

and third Canons. They were usually interpreted to mean, not merely that all M must be P and that all non-P must be non-Mb; but further that there must be *actual examples* (other than S) of M being P, and also *actual examples* of non-P being non-M. That is, the second was taken to mean that actual XMP's must be forthcoming; while the third was taken to mean that actual X non-P non-M's must be forthcoming. And these requirements become of obvious importance in the cases of two of the Types of argument given in the Wheel of Reasons,—the argument from an *unlimited* reason (No. I., sound is eternal because knowable): and the argument from a *too limited* reason (No. V., sound is non-eternal because audible). For in the former case *there is no non-M:* and in the latter case *there is no XM.* Indian opinion divided itself in a very significant controversy as to whether arguments in these two types could ever be regarded as valid. It is worth while considering these two types in more detail.

No. I., the unlimited or '*Purely Positive*' Reason:

The example of this given in the Wheel is open to the fatal counter-example of the pot which is of course knowable, and yet not eternal. But if an unlimited middle term is used to prove an *unlimited major*—as, the pot is nameable because knowable,—so that no counter-example in the form XM non-P is forthcoming, is this type of argument still inconclusive? Some rejected such arguments as breaking the third Canon—that the Probans must be absent in negative examples—this being interpreted to mean that there must *be* negative examples, X non-M non-P. The orthodox school of logic (the Nyāya), however, maintains the validity of such arguments, classing them under a separate rubric under the name 'purely positive' (*kevalānvayin*). The real solution of the controversy no doubt is that the reasoning would be invalid if it were paradeigmatic: and the Indian logician makes syllogism an affair of examples. But in this type of argument the positive 'examples' are as irrelevant as negative examples are impossible. For the reasoning is not by examples at all, but implicative—a matter of 'agreement of ideas,' and not of evidence. And, as such, it is valid reasoning, though invalid *paradeigma.*

No. V., the '*too limited*' or '*Purely Negative*' Probans:

Sound non-eternal because audible. Obviously we could just as well argue that sound is eternal because audible, for no XM can be adduced, since the M, audibility, is the peculiar property of the S, sound. The argument is therefore confined to negative cases, X non-M's, things that are not the object of the auditory sense—and of these some are eternal and some are not. (Sound itself of course cannot be used as an example, SMP, for S, the minor term, is by definition "that which has the probandum *doubtful*".)

But suppose that in the sphere of negative cases, X non-M's, as a matter of fact P is *not* found, so that no enstasis to the experience X non-M non-P is forthcoming (in the form of a counter-example X non-MP). The Nyāya school, which defends this type, under a rubric of 'Purely Negative' Probans (*kevalavyatirekin*), adduces as an instance of a valid inference in this type the argument "The living organism has a soul because it has vital functions." No positive example can be quoted, other than the living organism itself, of things possessing vital functions. But within the sphere of things *not* possessing vital functions—pots and the like—no one would assert the existence of soul: so that to the negative example X non-M non-P no enstasis in the form X non-MP is forthcoming.

There is the same division of opinion about this 'Purely Negative' type as there is about the 'Purely Positive' type; some rejecting it as a breach of the second Canon—that the Probans must reside in Positive Examples only: which is interpreted to mean that there must *be* a positive example, XM. And here again the solution of the controversy seems to be that such arguments are invalid *paradeigmata*,[1] but may still be valid inferences by presumption or implication within a system. Again it is a matter not of evidence and example, but of the agreement of ideas. The Indian school-man starts from the view that all inference is an affair of examples. He then comes across valid inferences which refuse reduction to the normal type. He therefore invents abnormal types which are paradeigmata only in appearance, in order to provide for these cases.

These two Types are therefore of interest as pointing the moral that a view of inference[1] as subsumption under a major based on 'evidence' goes bankrupt as soon as it has to deal with reasoning that depends, not on

evidence, but on the agreement and disagreement of ideas (to use Locke's phrase again). It seems to me that the whole of mathematical reasoning would have to go into the purely negative Type—with ludicrous results. If I wanted to prove that five and seven are twelve, I should probably say to myself "twice five are ten; and two makes twelve". No positive example is available, other than seven *plus* five itself. And to argue negatively that six and seven, etc., are not twelve, and therefore five and seven *are*, does not recommend itself as a reasonable alternative.

The moral is pointed so plainly by Indian logic, just because Indian logic insisted on the concrete examples which the western syllogism finds superfluous. What the Indian logician says, in effect, is: "If you are going to have an argument which you can call a valid 'syllogism,' you must be in a position to support your 'major premise' by concrete cases other than the Subject or minor term." The western student would retort: "If you have a genuine universal—a *vyāpti*—for your major, the citation of examples is perfectly irrelevant. *Your* syllogism is a cross between an indecisive analogy or argument from particular to particular on the basis of similarity, and a cogent deduction from a universal principle on the basis of identity of nature."

The question cannot be profitably debated further without asking the critic of the Indian syllogism whether he supposes the major premises of *his* syllogisms to be always derived from particular cases—examples—by induction. If his answer is in the affirmative it seems to me that he has no case against the Indian view of the syllogism as an affair of examples. And Mill in his criticism of the syllogism is in fact practically affirming what the Indian formulation affirms — that the reasoning is from particular to particular, since the major premise adds nothing to the *evidence* for the conclusion. The evidence is the Examples. The critic's syllogism is then a hybrid, being no more than a *paradeigma* which conceals its humble origin in the particular by suppressing those Examples on which the Indian syllogism insists.

A subsumption of this sort, at any rate, *i.e.*, under an inductively established major, such as the Indian syllogism confessedly is, and such as

our text-book syllogisms for the most part really are, is a relatively inferior form of inference: and so it has not been content to remain within its own nature, but has reached out towards more cogent forms of inference. It has done this by substituting an explicit formulation of the universal for the concrete embodiments of it from which, as *paradeigma*, it really argues: and then, in the western school logic, by substituting the purely quantitative or mathematical[1] cogency of the relation between container and contained in the place of the cogencies of real relationship which are in truth the nerve of inference.

But in thus passing from an affair of examples into an affair of quantitative relations the paradeigmatic syllogism achieves a pseudo-cogency only at the cost of ceasing to be syllogism in any sense whatever. For it now becomes the eduction of quantitative relations or correlates within a purely quantitative system; and the major premise is no longer (what it purports to be) the principle from which the conclusion is *deduced:* but becomes just one of the quantitative data from which (in accordance with *implicit* mathematical principles) a quantitative result is *educed. Quantitatively considered*, the syllogism is no more syllogistic than are such arguments as 'A is to the north of B, and B is to the west of C, therefore A is to the north-west of C'. It is as purely 'relational' an inference as *they* are. And surely no light is thrown on the inner nature of all possible inferences by an attempt to throw them all into the common form of a problem of quantities—an affair of 'All and None'.[1]

With the development of the doctrine of *vyāpti* or universal connexion explicitly formulated, and with the substitution of the category of Class Nature (*sāmānya*) for Similarity (*sādharmya*) as the principle of syllogistic inference, Indian logic took the step which leads naturally to the quantitative view of the syllogism. But it developed a formalism[2] along different lines, and never elaborated the quantitative concept in the manner of the western school logic. The western formalism seems to me (partly no doubt owing to its familiarity) as a very much more efficient 'dodge': though I do not think it can claim to be a more philosophical formulation of subsumption than the Indian syllogism. Indeed, the retention of the

'Example' may be regarded as having given the Indian 'syllogism' a better chance of avoiding the fate of becoming a barren thought-form than the quantitative formulation gives it: for the quantitative theory of syllogism can only re-vivify itself in a theory of Induction, that is, in a theory of Example — which is what has happened to it in the West. India, however, failed to exploit the advantage of its insistence on the Example because it used its syllogism mainly for ontological and theological reasonings—that is to say, in just that sphere of inference within which 'induction' has least scope, and in which *therefore* the paradeigmatic syllogism is least applicable.

Both syllogisms, Indian and Western, have claimed to be the universal type of inference, and in both cases the claim has been questioned. In India the term used for inference is the term used for syllogism (*anumāna*), and therefore the demurrer against the claims of syllogism does not take the form of saying that there are other forms of *inference* apart from *anumāna*, syllogistic inference; but that of saying that there are other instruments of valid cognition (*pramāna*) besides (syllogistic) inference, perception, and authoritative testimony (which with Comparison are the four *pramāna's* recognised by the orthodox logical school): but the other means of valid cognition which the critics put forward are in fact other forms of *inference*— for instance *arthāpatti*, Presumption or Implication, the stock example of which is just a disjunctive inference.[1]

Criticisms of this nature have, in India, arisen from the fact that there are types of inference in which '*Example*' plays no part. In the West they rather arise from the difficulty of finding the characteristic *three terms* of syllogism in relational arguments. In both criticisms the emphasis is laid on the difficulty of *formulation*—on the Indian view you cannot find the *example* which the *Trairūpya* requires: on the Western view, you get a *quaternio terminorum* which the Rule of Syllogism forbids.[2]

On the whole the Indian scholastic has shared with the scholasticism of the West the view that syllogism is the ideal and universal type of inference. As regards the two methods of formulating it, my feeling is that the Western scholastic, with his quantitative apparatus of formalism, has been worshipping idols of the theatre not less, but rather more, than the Indian

scholastic with his 'Examples'; that the *Dictum de Omni et Nullo* is even further from the truth about inference than the Indian *Trairūpya*, or Three Characteristics of the Middle Term: and that the paradeigmatic syllogism of the Indian schools is on the whole preferable to BARBARA CELARENT.

1 But see below, footnote 3 to p. 399.

2 In the earlier logic the word translated literally Probandum, and confined in the later logic to the 'major term', was applied indiscriminately both to the major and to the minor term. The earliest commentator explicitly says that Probandum means either the Subject qualified by the property-to-be-proved, or the Property-to-be-proved qualified by the subject. This terminology seems to show that the Indian logician did not regard his 'terms' as separable entities: and if he had used symbols (as he never did) he might perhaps have written Sp is sP—instead of our S is P, *i.e:*, the difference between subject and predicate is rather a difference of emphasis within the same complex. It is noteworthy that (so far as I know) Indian logic has no *generic* name for the 'term'. The Indian syllogism has 'Members', but these are propositions.

Historically, the ambiguity of the word Probandum is due to the fact that it formed the first member of the two compounds *sādhyadharma* and *sādhyadharmin*, — *sādhya* meaning probandum, *dharma* property, and *dharmin* property-possessor. The former compound was used to refer to the 'major term,' and the latter to refer to the 'minor term,' so that the two things were distinguished by the mere difference in the noun-suffix. But the latter members in these two compounds were ordinarily omitted, so that the first member, *sādhya* = probandum, was left to do double duty as name for both major and minor term. This was so obviously inconvenient that another word, *paksa* (side, side to a discussion, thesis), came into use to denominate the minor term, leaving *sādhya* as the appellation of the major.

1 The terms Subject, Probans, Probandum, are borrowed from Dr. Gaṇganātha Jhā's translation of the Nyāya Sūtra and Bhāsya—published in *Indian Thought* (Allahabad and Benares, 1912–1920), and separately (Allahabad). This is a work which places all students of these difficult texts under very great obligation to the author.

2 A distinction between the Probans as 'pervaded' (*vyāpya*) and the Probandum as 'pervading' (*vyāpaka*) arose in connexion with the doctrine of universal connexion,—*vyāpti*, Pervasion. But it never developed into a quantitative account of the relation of the terms in a syllogism.

3 A passage in the seventh century Buddhist logical tract Nyayabindu treats of arguments from *Non-perception* as the Probans, as a separate type. These have a negative minor premise and a major of the form All P is M (in place of All M is P). And this is the essential character of the Second Figure. The author first points out that any argument may be put either positively or negatively. He calls the positive form the form 'based on likeness' (*sādharmyavat*), and the negative form the form 'based on unlikeness' (*vaidharmyavat*): which means that in the former case the minor premise has the same 'quality' as the major, in the latter it has the opposite 'quality'. But he adds that a mere change of form marks no real difference in the argument. It is the same thing to say

All M is P

S is M

Therefore S is P (the *sādharmyavat* form): and to say

> All non-P's are non-M
>
> S is not non-M

Therefore S is not non-P (the *vaidharmyavat).* But he notes that there is a particular class of arguments from non-perception as Probans,—

> All (possible objects of perception) which are present are perceive
>
> The pot is not perceived
>
> Therefore it is not present,—

in which the *vaidharmyavat* form is the form which the argument wil take when the major is stated in the direct or positive form (*anvaya*) This is a genuine CAMESTRES, with affirmative major of the All P is M type.*

He points out that you *can* express it as a *sādharmyavat* argument by putting the major in the indirect or negative form (*vyatireka*):—

> Whatever (possible object of perception) is not-seen, is not-present,
>
> The pot is not-seen
>
> Therefore it is not-present.

This of course is BARBARA in form—but not in nature. The truth about 'Figures' seems to be clearly enough apprehended here, though the Figure as a 'dodge' was not utilised in the Indian schools.

1 See Prof. A. B. Keith's *Indian Logic and Atomism* (Oxford Univ. Press, 1921), p. 87.

2 The earliest commentator says explicitly "the Application—fourth member—is a comparison (analogy), as is shown by the word 'so'".

1 It seems to me clear that this is the meaning of even the earliest commentator, Vātsyāyana, though he does not explicitly formulate the distinction between 'inference for oneself' and 'inference for another'. He never calls the five-membered syllogism 'inference' (*anumāna*), but refers to it as the Probative Statement (*sādhakavākya*). And in a significant passage (I., i. 39) he says that this Probative Statement, or syllogism, is a combination of the several means of knowledge (*pramāna*): the first member or Proposition being matter of Testimony; *the second or Reason being Inference;* the third or Example being matter of Perception; the fourth or Application being Comparison (also reckoned by some as a separate means of knowledge).

2 It was not uniformly retained. After the full development of the doctrine of universal concomitance or Pervasion (*vyāpti*) a feeling arose in some quarters that the example was superfluous, and it was rejected altogether by a few writers. But this was an abnormal doctrine, and contrary to the spirit of the Indian syllogism.

3 The conclusion is the restatement of the Proposition. A scholiast on the Prior Analytics observes that the 'problem' is the same as the conclusion: when put forward with a view to proof as something not known, it is called the problem: when proved it is the conclusion. Brandis, *Scholia*, p. 150, col. 2, 11. 38–46.

4 *E.g.,* the Buddhist logical tract *Nyāyabindu* follows up the useful principle that words are not necessary when the thing is understood, with a demonstration that the positive form of the *vyāpti* implies the negative and *vice versa.* Only one need be *stated.* Another work quotes the ingenious observation of a critic of the full syllogism, considered as 'Inference for Another,' to

the effect that other people's mental processes are difficult to get at, and that it is impossible to say that just so much verbal expression will convey understanding, and less will not.

1 Which amounts to saying that the Canons of syllogism are the Canons of 'induction'. And I believe that this is just what the Indian view of syllogism *amounts* to. Dr. B. Faddegon in his Vaisesika System (Amsterdam, 1918) calls the Indian syllogism a combination of a deduction with a superficial induction. See further on this point below.

2 Otherwise Dinnāga, a very interesting figure in the development of Indian logic, on whom see Stcherbatskoi's brilliant article in *le Muséon* (1904), n.s., vol. v., which has formed the basis of subsequent discussion. Dinnāga's works are unfortunately available only in Tibetan versions, but some account of them has been given by Dr. S. C. Vidyābhūsana in his *Indian Logic: Mediæval School.* I draw my account from this work.

3 In the older writers like Prasastapāda and (perhaps) Dignāga, the word translated Subject was still liable to the ambiguity noted above [the word used is the equivalent of *sādhya* and liable to the same ambiguity, as meaning either Subject (minor term) or Probandum (major term)]. It is therefore possible, even probable, that the first canon as originally formulated was an assertion of universal connexion between Probans and Probandum. Later writers, however, always took it in the sense in which it is translated above, *i.e.*, as the assertion that the Probans must be found in the Subject—S must be M. And this seems so much more likely an interpretation *prima facie* that it seems gratuitous to suggest that it originally had the other meaning. There are nevertheless strong reasons for believing that this was the case—see Keith, *Indian Logic*, pp. 137–138. If so, these Canons present exactly the same double character and the same redundancy as the syllogism itself presents in its third member, the 'Example' so-called, which combines a statement of 'Pervasion' (*vyāpti*) with concrete examples. As Dr. Keith says: "the explanation ... is perfectly simple. The three conditions represent a precise statement of the third member of the syllogism, the Example, when completed as it was in Prasastapāda's time by the enunciation of the general proposition." Dignāga is credited by modern critical historians of Indian Philosophy with the 'discovery' of the universal proposition, and it is supposed that Prasastapāda borrowed this and much else from him.

1 It is the word translated 'only' in the two latter Canons (Sanskrit *eva*, a particle of emphasis and exclusion) around which controversy as to the exact formulation of these canons has turned.

The Second Canon means that XP's (some, not necessarily all) must be M, and that no counter-example of X non-P being M must be forthcoming.

The Third Canon means that X non-P's (all of them) must be non-M, and that no counter-example of X non-P being M must be forthcoming.

The objection to the formulation is obvious—the 'only' of the Second Canon excludes precisely the same counter-examples as are excluded by the 'only' of the Third Canon. And as the Second Canon has already stated, by means of this exclusion, that all XM's must be XP's, there is nothing gained by the contrapositive statement in the Third Canon—that all X non-P's must be X non-M's. And I think that the formulation is in fact indefensible.

But it is easy to see how it grew into this form. First there is the need of positive examples, XMP's. Then there is the need of *denying* the occurrence of counter-examples XM non-P. And this denial *can only* take the form of pointing to X non-P non-M's. The limits of the method are in fact reached when you have pointed to XMP's and then (in answer to the suggested possibility of XM non-P's) pointed to cases of X non-P's which are non-M.

   1 By which I mean the earliest available account of syllogism. And this is to be found in the Nyāya Sūtra, and in Vātsyāyana's Bhāsya or commentary thereon. Neither can be dated, though Jacobi has attempted to date the Philosophical Sutras in the *Journal of the American Oriental Society*, vol. xxxi. (The references in the Vaisesika Sūtras are no doubt earlier, but hardly constitute an intelligible 'account' of syllogism.)

   2 But they are not 'moods,' rather Types.

   3 These are two of three classes of fallacy commonly recognised. A third class of fallacy is the *Unreal* reason, which consists in taking a middle term which is not found in the Subject, and thus constitutes a breach of the first canon. This class of fallacy is not represented in the Wheel of Reasons: the Wheel only sets forth all possible relations of the 'middle' to the 'major,' and does not concern itself with the relation of the 'middle' to the 'minor'.

   1 Dr. Faddegon, *op. cit.*, p. 108, remarks: "The translation of *ākāsa* by 'ether' is very misleading. It has nothing in common either with the Greek notion of ἀιθήρ or with the notion of ether as conceived by modern European physics. It is space as the medium through which sound is transmitted. I have called it 'physical space' in order to distinguish it from *dis, i.e.*, space regarded with reference to direction, termed by me 'mathematical space'." (*Dis* is the root found in Greek δείκνυμι. *Ākāsa*, etymologically, would indicate brightness or light. Philosophically, its function is to be the medium of sound, and the subtle stuff of which the inner organ of hearing is composed.)

   1 The trick of the *purely negative* pseudo-paradeigma is a fallacy of many questions. Your opponent maintains that there is no such thing as a soul. "Well then," runs the retort, "of course you will agree that inanimate things are soul-less?" The opponent (it is supposed) feels himself compelled *a fortiori* into this admission, having maintained the more comprehensive position that *everything* is soul-less. The admission provides you with the negative example free from enstasis which you consider *in this particular Type* sufficient for proof. As a matter of fact your argument will involve an illicit process of the major:—

Inanimate things are soul-less
The living organism is not inanimate
Therefore the living organism is not soul-less.

(The seventh century commentary Nyāya-vārttika states the argument in this form—*Bibliotheca Indica* edition, p. 126,1. 6. Later commentators 'convert' the major premise. The author of the Vārttika is of course aware of the objection to which his form of argument is exposed—that "it does not establish exclusion of soullessness in the living organism ". His reply takes the form of an *argumentum ad hominem*—the objector must beg the question if he tries to adduce an instance in which the exclusion of absence of vital functions does *not* exclude the absence of soul—for he can only adduce the living organism itself.)

It is impossible to get over this difficulty without begging the question openly: for to convert the major into the required form "All soulless entities are inanimate"is to deny *ab initio* the opponent's position that some soulless entities are animate, *viz.*, the living organism.

But the question has been begged already in presenting the opponent with a dichotomy into soulless and soul-endowed things, which is implied in asking him to admit that inanimate things are soulless. The prior question is whether the dichotomy within which the opponent is asked to make affirmation

or denial is a universe of reasonable discourse at all. From the opponent's point of view it is not—and therefore he need neither affirm nor deny.

[1] Some schools admitted the existence of inferential processes other than "syllogism" (*anumāna*). One such process is *Arthāpatti*, which English translations render either by 'Presumption' or by 'Implication'. The stock example of this is: "Devadatta, who is fat, does not eat by day: *ergo*, he eats by night." (Bosanquet too would have called this 'implication'.) The nerve of the process is that the facts (*artha* = thing) force some presumption upon the mind. It is thus that you know, for example, that there is a potency in the seed which makes it grow. The orthodox school reduces *arthāpatti* to the 'purely negative' type of syllogism.

[1] I think I remember the late Prof. Cook Wilson referring to 'the science of SMP' as a branch of mathematics.

[1] No less relational, and no more syllogistic, is the quite different type of argument from relations of identity, such as that which is sometimes adduced as a case in which the 'syllogism' plainly functions in the discovery of a new truth,—the case of the priest who has just said that his first confession was that of a murder—whereupon X enters the room and greets the priest with the remark that *he*, X, was the first person to make a confession to the priest. A is B. B is C. *Ergo*, A is C—X is a murderer. A good inference, but not assuredly a subsumption in any sense: having neither a universal premise stating a principle from which the conclusion is deduced; nor yet any 'example' adducible of universal connexion between being the first person to make a confession to this priest, and being a murderer. It is, a purely relational argument, the relation being that of numerical identity. I can see no excuse at all for calling such an argument syllogistic, except the accident that it happens not to involve the *quaternio terminorum*, which is obvious in arguments like A is to the right of B, and B to the right of C.

I suppose the orthodox Indian logician would have treated this argument from identity as belonging to the 'purely negative' type of syllogism:—

"X is a murderer,
Because he is the first person who made a confession to Y,
Those who were *not* guilty of this murder did *not* make the first confession to Y—like Z etc."And other relational arguments could be similarly treated—or maltreated. For this Type, as noted above, is a department of syllogism roo ny enough to hold the whole of mathematics.*We* get over the difficulty, in the case of the argument from identity, by treating singular propositions as equivalent to universals—a sufficiently uncritical procedure. We do not get over it at all in the case of the other relational arguments which involve *quaternio terminorum:* for attempts to construct a major stating the principle of the inference, whilst crowding all the data into a congested minor, may be disregarded as a confessed failure.

[2] The slight acquaintance which I have with the later developments of Indian logic perhaps justifies the statement that the formalism which Indian logic *did* develop is a far more terrible affair than anything the Western schools can boast of. It consists (externally at least) in the introduction, into definitions, of an almost incredible verbal complexity, in the form of compounds which are, quite literally, *sesquipedalia verba.* The acquiring of the habit of mind necessary for the unravelling of these syntax-less word-masses is a discipline of years, and one which I do not hope to undergo. This type of scholasticism commences with the twelfth century and flourishes to-day in the schools of indigenous culture.

[1] See footnote to p. 410.

2 The larger question is whether the universal always functions in inference in the way in which the syllogism represents it as functioning. The doctrine of syllogism, as universal type of inference, is that the universal acts always as an explicitly apprehended *unit* in the inference—it is a Member or Premise of the reasoning. There is in the mind a vast reticulation of concepts or points of view, *vyāpti's* (whether or not these are regarded as derived from prior concrete experiences); and syllogism is the process through which the special case is caught in the meshes of this net of abstractions—the logical ideal of reasoned truth being satisfied only if the universal is explicitly apprehended and formulated in abstraction from the particular embodiment of it to which the reasoning 'applies' it. That the universal sometimes functions in this way must be admitted. That it always does so seems to be an illusion of the schools.

The Concept of Pakṣa in Indian Logic

J. F. Staal

In studying a civilization different from our own we are prone to impose the conceptual framework and prejudices of our own tradition. The study of Indian logic by Western scholars, including Indian scholars who accepted certain tenets of Western logic, forms no exception. S. C. Vidyabhusana, the first historian of Indian logic, looked at his subject through eyes so colored by what he regarded as Aristotelian logic, that he talked of the 'Indian syllogism' and saw in it traces of the influence of Aristotle – a historical claim no serious student of Indian logic would nowadays wish to make his own. Moreover, like many other scholars of his generation, Vidyabhusana was not really familiar with Aristotle, but rather with what is generally called 'traditional logic', a mixture extracted from Aristotle, but enriched with the left-overs of numerous other dishes. A decade later, the great Russian pioneer of the study of Buddhist logic, Th. Stcherbatsky, adopted a Kantian framework and introduced thereby even greater confusion. For unlike Aristotle, who doubtless continues to be the greatest logician in the Western tradition, Kant was no logician, and the greatest weaknesses of his philosophy are due precisely to his ignorance of logic.

I present these remarks by way of introduction, but they should not be regarded merely as historical anecdotes. For the prejudices of Vidyabhusana and Stcherbatsky continue to affect our understanding of Indian logic. This is clear from the literature in Western languages even on such elementary notions as the concept of *pakṣa*. This particular notion is furthermore obscured by the fact, that the term *pakṣa* is within Indian logic itself not used unambiguously. And so we witness the growth of a dense jungle of

scholarship – first in Sanskrit, and next in Western languages – due to confusions around a notion that is basic and quite elementary. This paper attempts to clear some parts of that jungle.

There is no point in criticizing theories unless it is from the perspective of what one regards as the correct theory. Similarly, in order to appreciate precisely where and how some interpretations have gone wrong, we have to know the right interpretation first. I shall therefore begin by elucidating the most important and most technical meaning of the term *pakṣa* in Indian logic, which occurs throughout its development, Hindu as well as Buddhist, and which is in fact straightforward and simple. In Indian logic, entities are never considered as if they were hanging in the air, but always as occurring in a locus (*āśraya; ādhāra; adhikaraṇa*). In this sense, Indian logic has its feet firmly on the ground. This ground, in the case of any specific case of inference, is called its *pakṣa*.

In order to explain this a little more precisely I shall make use of formal expressions, thereby perhaps inviting the accusation that I am imposing on the Indian material a framework of modern mathematical logic, thus merely substituting a more fashionable bias for the Aristotelian and Kantian prejudices of my predecessors. But this in fact is not the case. I use symbols merely because they are more precise and unambiguous than ordinary English. By introducing them I do not import any notions, theorems, or theories of contemporary Western logic.

In Indian logic, an entity, say *x*, is never regarded in isolation, but always considered as occurring in a locus, say *y*. The fundamental relation which underlies all expressions is therefore the relation which obtains between each entity and its locus. Since such a relation relates *x* to *y*, it is a two-place relation, which may therefore be written as:

(1)

$$A(x, y)$$

This may be read as: '*x* occurs in *y*', or, alternatively, as '*y* is locus of *x*'. The relation *A* may be called an occurrence relation.

Given such relations, an inference is not merely a relationship between two entities, but a relationship between two entities as occurring in a locus. It would therefore be incorrect, or at least a rather rough approximation, to express the relationship between h, the *hetu* 'reason' and s, the *sādhya* "thing-to-be-inferred, inferendum"[1], as:

(2)

$$h \rightarrow s$$

It is more appropriate to express the relation of inference as a relation between two occurrence relations of the type (1), i.e., as:

(3)

$$A(h, p) \rightarrow A(s, p)$$

This may be read as follows: 'if the *hetu* occurs in p, then the *sādhya* occurs in p'. Here the particular locus p in which the particular inference between h and s occurs, is what is called the *pakṣa*. In the stock example, the *hetu* is smoke, the *sādhya* is fire, and the *pakṣa* is a mountain. On this interpretation, (3) may be read as: 'if smoke occurs on a mountain, then fire occurs on that mountain'.

Part of the later history of Indian logic is the attempt to generalize expressions of this form in such a way, that they hold not only for a specific *pakṣa*, but for all loci. What is then attempted is to arrive at expressions equivalent to:

(4)

$$(x) \left(A \left(h, x \right) \rightarrow A \left(s, x \right) \right)$$

which may be read as: 'for all x, if h occurs in x, then s occurs in x'; or: 's occurs wherever h occurs' (cf. Staal, 1962). I am not concerned with these later developments (treated in *navya-nyāya* in some of the commentaries upon the section called *pakṣatā* of the *Tattvacintāmaṇi*), but shall confine myself to the original notion of *pakṣa* itself.

Vidyabhusana interpreted the notions of *pakṣa, hetu* and *sādhya* in terms of traditional logic as minor term, middle term and major term respectively (e.g., Vidyabhusana, 1921, pp. 176, 312). In order to see to what extent this is correct we shall have to go back to Aristotle (cf. Bocheński, 1951, pp. 42–46). Aristotle considered primarily sentences of the form 'x belongs to y', which may be symbolized as:

(5)

$$B\,(x, y)$$

A syllogism then consists of two premisses of the form (5) from which one conclusion again of the form (5) is derived. Different types of syllogism are obtained by substituting for 'x' and 'y' in the premisses and in the conclusion three terms: one in one of the premisses and in the conclusion; another in the other premiss and in the conclusion; and a third in both premisses. The third term is called 'the middle'; the other two, 'the extremities'. The following is an example, where D is the middle term, and C and E are the extremities:

(6)

$$B\,(C, \text{all } D)$$
$$B\,(D, \text{all } E)$$
$$\overline{B\,(C, \text{all } E)}$$

or: 'if C belongs to all D, and D belongs to all E, then C belongs to all E'.

Of the extremities, one is called the minor term and the other is called the major term. These terms, however, are not defined according to their formal position in syllogisms of the form (6); rather, they are defined, at least for the first figure[2], according to their *extension*. What this means is best seen when (6) is illustrated as follows:

(7)
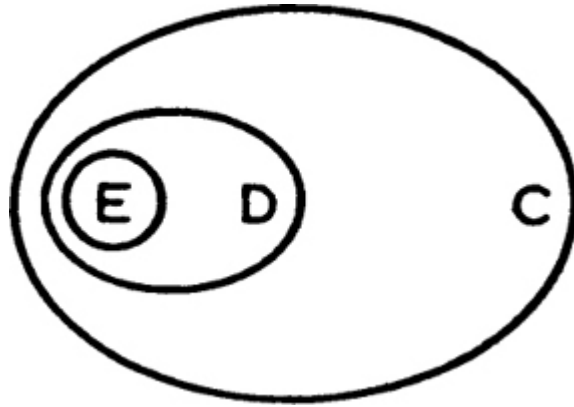
Here, *E*, which has the smallest extension, is the minor term; and *C*, which has the largest extension, is the major term.

We are now in a position to return to Indian logic. It is obvious why Vidyabhusana thought that the *hetu* corresponds to the middle term: neither the *hetu*, nor the middle term occurs in the conclusion of the inference. That is to say, the *hetu* does not occur on the right side of (3), i.e., in:

(8)

$$A\ (s, p)$$

and the middle term does not occur in the conclusion of (6), i.e., in:

(9)

$$B\ (C, \text{all } E)$$

It is also clear why he thought that the *pakṣa* and the *sādhya* correspond to the minor term and the major term, respectively: for (8) or 'the *sādhya* occurs in the *pakṣa*' looks somewhat like (9) which seems to express: 'the major term belongs to all the minor term'.

But if we look a little more closely here, we discover that these interpretations are nothing but the results of a confused muddle. In the Aristotelian syllogism, there are two premisses and one conclusion, and all three are of the same form, i.e., (5). In the Indian inference, on the other hand, there is only one premiss, viz., *A* (*h*, *p*), and the two relations from the *hetu* to the *pakṣa* and from the *sādhya* to the *pakṣa* are always the same relation, namely the occurrence relation *A*. There is an entirely superficial

and fortuitous similarity between the particular syllogism illustrated in (6), and the general form of the Indian inference, viz., (3). The three terms in Aristotelian logic, and in the traditional logic which is derived from it, are all of the same category. The Indian *pakṣa*, on the other hand, is an entirely different kind of thing from the *hetu* and the *sādhya*: it is the particular locus in which both the *hetu* and the *sādhya* happen to occur; it plays no part in the inference itself, though it is inseparable from each of its two terms. The *pakṣa* is the locus where the *hetu* occurs, and where the occurrence of the *sādhya* is doubted and sought to be established.

The difference may also be formulated thus. In Aristotle's syllogism the three terms are always related to each other through a relation of the form B (x, y) or 'x belongs to y'. In the Indian syllogism there are two terms, h and s, which are always related to each other through the relation of *pervasion*; both h and s are in addition related to the locus p but only through the occurrence relation A.

Vidyabhusana's erroneous identifications and comparisons have been repeated or relied on by almost all later interpreters of Indian logic. Stcherbatsky entangles them even further in his *Buddhist Logic*, but this deserves separate treatment, and I shall return to it. Some scholars confine themselves to using the terms 'minor', 'middle' and 'major' for the three Indian terms, without referring to the function which these former terms have in Western logic (e.g., Athalye, 1930, p. 281; Kuppuswami Sastri, 1932, pp. 188–189; Bocheński, 1956, pp. 497, 501; Goekoop, 1967, pp. 11–12, 56; Matilal, 1971, pp. 128–129). Others go out of their way to relate the Indian and the Aristotelian systems, and get wrapped up in greater confusions (e.g., Foucher, 1949, pp. 117–118; Barlingay, 1965, p. 109). The only scholar I found who seems to have had an inkling that these comparisons do not hold water, is Ingalls (1951, p. 35): though he uses the Western terms when introducing the Sanskrit ones, he remarks in a footnote: "Since the relation between s and h is one of pervasion, h may be equal to s.... In such cases, it is only by an extension of the literal meanings that one can speak of 'major', 'middle' and 'minor' terms. This is one reason why I prefer to keep the Sanskrit names, 's', 'h', and 'p'" (*ibid.*, note 28). But the assumption underlying this

observation is incorrect: Aristotle does consider cases where the middle and major terms are equal[3].

Turning now to Stcherbatsky we meet with a weird mixture that seems to have nothing whatsoever to do with logic. Though Stcherbatsky's translations are on the whole quite literal and reliable, his interpretations and explanations are often extremely confused and almost always unclear. The Indian distinction between *svārthānumāna* 'inference for one's own sake' and *parārthānumāna* 'inference for the sake of others' is expressed and interpreted by Stcherbatsky by calling the second kind of inference, but not the first, 'syllogism'. Stcherbatsky is of course well aware of the Aristotelian and traditional connotations of that term. In fact, he says: "We have given the name of Syllogism to inference 'for others' because of its outward similarity with Aristotle's First Figure" (I 278; the other figures need not detain us, he says, they are 'false subtlety' anyway: I 309). As a result, chapter II of part III, which explains inference, is relatively free from Aristotelian (though not from Kantian) bias. But chapter III of part III, which deals with 'syllogism', though clearly enunciating one of its basic characteristics ("It thus consists of a general rule and its application to an individual case": I 279), uses the expressions minor, middle and major in a very confusing manner, applying 'minor' and 'major', as in traditional logic, to premisses as well as to terms.

The second volume of Stcherbatsky's *Buddhist Logic* contains the translation of Dharmakīrti's *Nyāyabindu*. In the translation of the third *pariccheda*, which deals with the *parārthānumāna* 'syllogism', many inferences are interpreted in terms of a major premiss, an example, a minor premiss and a conclusion. Though this forces the meanings of the original expressions into a very badly fitting straight-jacket, I shall confine myself to the treatment given to the concept of *pakṣa*. When this concept is introduced in the second *pariccheda*, Dharmakīrti does not refer to it by the term *pakṣa*, but by its predecessor, the term *anumeya*. Stcherbatsky translates the latter term as 'the object cognized by inference' and identifies it with the minor. In the section entitled 'Minor term', he translates the definition of *anumeya* (*anumeyo'tra jijñāsitaviśeṣo dharmī*) correctly as:

"The object cognized in inference is here the substratum whose property it is desired to cognize." The term 'substratum' (*dharmin*) refers here to the locus, which has for its property (*dharma*) or specification (*viśeṣa*) the *sādhya* which occurs in it, so that the relation:

(8)   *A (sā)dhya, anumeya)*

 holds.

Now it is clear that the expression (8) refers itself to the conclusion of the inference. The commentary of Dharmottara on this definition reveals a certain ambiguity of the term *anumeya* as used in this context. In Stcherbatsky's translation: "The word *here* means that the object of inference appears as a substance (a substratum) when the definition of its mark is considered (the mark being an attribute of this substance). But from another standpoint, when the deduced (conclusion) is realized, the subject of the inference would be a complex (idea of the substratum together with its property). And when the invariable concomitance (between the middle and the major terms) is considered, then the inferred fact appears as an attribute (of this substance, as the major term). In order to point out (these differences) the word *here* has been used. We call *object of inference* an object whose property, or specification, it is desired to cognize" (II 58) (*atra hetulakṣaṇe niścetavye dharmy anumeyaḥ / anyatra tu sādhyapratipattikāle samudāyo'numeyaḥ / vyāptiniścayakāle tu dharmo'numeya iti darśayitum atra grahaṇam / jijñāsito jñātum iṣṭo viśeṣo dharmo yasya dharmiṇaḥ sa tathoktaḥ*).

Stcherbatsky attaches a footnote explaining *anumeya*: "In a general sense it may mean an object which possesses the united properties of the major, the minor and the middle terms, e.g., 'the mortal man Socrates'; it is then *ekam vijñānam.* It may also mean the major term or the conclusion separately, as well as the thesis which is also the conclusion (=*pakṣa* = *sādhya*). In a special sense it means the minor term, the subject of the conclusion, and even more precisely, the underlying substratum (*dharmin*), the efficient point-instant, that underlying point of reality upon which any

amount of interconnected qualities may be assembled as a superstructure" (*ibid.*, note 1).

Such muddles do not help the understanding of Indian logic. In fact, no logician who reads them can fail to lose whatever regard he might ever have had for that subject. And yet, Stcherbatsky was partly correct in his interpretations. The confusion is partly due to the Indian logicians themselves, and the rest results from imposing upon their expressions an Aristotelian framework that has nothing to do with it. The ensuing jumble may be sorted out and clarified along the following lines.

As we have seen, the conclusion of an Indian inference may be expressed by $A\,(s,\,p)$ (8). Now Dharmottara referred to three things that may be called *anumeya* in this conclusion because each of them may be used to express what it is that is concluded: the *dharmin p*, which has *s* for its property: the *dharma s*, which *p* has for its property; and the complex (*samudāya*) of the *dharmin* together with its *dharma*. The reason for this undecidedness is that the Buddhist logicians failed in this context to properly express that the conclusion is the *relation A* (*s, p*): they confined themselves to expressions denoting terms and 'complexes' of terms. Stcherbatsky compounded this error by imposing the Aristotelian framework he had adopted, and so came to speak of a term in the inference which may be either the major or the minor – as if such a terminology should ever be introduced for any other reason than in order to distinguish between the two. The two facts that the terms *sādhya* and *pakṣa* are used by Indian logicians in such a way that either of them can be used to state the conclusion, and that this was done without the entire edifice falling to pieces, should have alerted Stcherbatsky that these terms could not possibly denote the same concepts as the Aristotelian major and minor terms.

Though the Buddhist logicians did not clearly express the relational character of the conclusion of the inference in the contexts in which they introduced and discussed terms such as *hetu, sādhya* and *pakṣa*, they did so in other contexts. But to confuse matters again, they there refer to this relation by the term *pakṣa*. Accordingly, *pakṣa* refers sometimes to *p*, and sometimes to $A\,(s,\,p)$. This is not as strange as it may seem, though it is

certainly bad logic. The occasional confusion between a term and a sentence is not uncommon in Indian logic, and it is undoubtedly related to the structure of the Sanskrit language, where a certain type of expression can either refer to a noun or to a sentence (cf. Staal, 1965, p. 181; 1971, p. 200). Thus, *parvato vahnimān* can mean either 'the mountain possesses fire' or 'the mountain which possesses fire'; and this may depend on the context. A more accurate way of expressing the fact that the term *pakṣa* is ambiguous in this way, is by saying that it refers either to *A* (*s, p*), or to *¡pA* (*s, p*), which may be read as: 'that *p* such that *A* (*s, p*)' (rather than just *p*).

Stcherbatsky does not explicitly refer to this distinction, but he implicitly distinguished between the two meanings by translating *pakṣa* sometimes as *subject* (or similar terms, in the contexts already referred to) and sometimes as *thesis*. The latter translation is adopted in II 153 and following, where he deals with the definition of *pakṣa* in the *Nyāyabindu*. Later scholars have felt this same ambiguity. For example, Tachikawa writes in the notes to his excellent translation of the *Nyāyapraveśa*: "According to the definition given by Śaṅkarasvāmin, the *pakṣa* is an object which the arguer wishes to prove to be qualified by a property, not the statement of the form: A property-possessor is qualified by a property. The statements, however, are here taken as examples of the *pakṣa*, which seems to indicate some laxity in the usage of the term *pakṣa*" (Tachikawa, 1971, 132, note 9)[4].

The *Nyāyapraveśa* of Śaṅkarasvāmin contains yet another use of *pakṣa*, interesting especially because the ambiguity of the Sanskrit original is resolved in the Chinese translation. Tachikawa renders the relevant passages correctly but has to resort to rather free translations. In these contexts, the term *pakṣa* refers to what the *sapakṣa* and the *vipakṣa* have in common. This can of course be said to be *pakṣa* from a morphological point of view, if the terms are taken to be mentioned, not used. But the meaning of the term which is thus constructed does not correspond to the more common meanings of the term *pakṣa* in Indian logic. In fact, what *sapakṣa* and *vipakṣa* have in common excludes what is ordinarily called the *pakṣa*. For *sapakṣa* is defined as any locus, *different from the pakṣa*, where the *sādhya*

occurs; and *vipakṣa* as any locus where the *sādhya* does not occur (see Staal, 1962, 634–635).

This special sense of *pakṣa* occurs first in the discussion of a reason (*hetu*) which is fallacious because it is common to both the *sapakṣa* and the *vipakṣa*. An example is: 'sound is permanent because it is an object of valid cognition' (*śabdaḥ prameyatvān nityaḥ*: Tachikawa, 1971, 124, 142). Here the *hetu* is fallacious 'because the property of being an object of valid cognition is common to both permanent and impermanent things' (*nityānityapakṣayoḥ sādhāraṇatvād*). In other words, since both permanent and impermanent things can be known (everything can be known in the Nyāya view), it is not proper to conclude that sound is permanent from the fact that it can be known.

The Chinese translators render *sapakṣa* and *vipakṣa* each by a combination of two characters. The two pairs have one character in comomn, which is however different from the character used to translate *pakṣa*. This particular structure enables the Chinese translators to avoid the ambiguity of the Sanskrit original. Thus in Hsüan Tsang's translation of the *Nyāyapraveśa*, entitled 因明入正理論 (*Yin ming ju cheng li lun: T*, 1630, Vol. 32, 11a ff.), *pakṣa* is rendered by 宗, *sapakṣa* by 同品 and *vipakṣa* by 異品. But in the above passage, translated as 常無常品皆共此因 (T.1630, 11c: 20), the term *pakṣa* is rendered by 品, the character which the expressions for the *sapakṣa* and the *vipakṣa* have in common.

Thus the Chinese translation avoids the confusing ambiguity of the original and expresses its logical structure more adequately. This should come as a surprise to those who maintain that the Chinese translators did not appreciate the subtler points of the Sanskrit originals, but merely replaced words by characters in a mechanical manner, the results being fit for recitation and perhaps meditation, but not susceptible to further rational analysis. In this instance, at least, Hsüan Tsang's translation is decidedly superior to many of the modern translations I have been concerned with in

the above attempt to clear some of the interpretative jungle that surrounds the concept of *pakṣa* in Indian logic.[5]

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NOTES

[1] The translation 'inferendum' was suggested to me by Mr. Paul Z. Panish.

[2] Aristotle gives different definitions in different contexts, and the definitions given for the first figure do not apply to the others. See Łukasiewicz (1957) pp. 28–82 and Patzig (1959) = Patzig (1968), Chapter IV.

[3] In *An. pr.* B5, 75b 35 ff. and in *An. post. A*3, 73a 6ff., Aristotle considers arguments where all three terms are convertible with each other, which is at least as strong a claim as that of extensional equality.

[4] The same 'laxity' is present when Tachikawa takes *pakṣa* to be the sense of *sādhya* in *anitye śabde sādhye* (Tachikawa, 1971, p. 132, note 9).

[5] I am very grateful to Professor Lewis R. Lancaster with whom I taught a seminar on the *Nyāyapraveśa* and who initiated me into the intricacies of its Chinese translation, and to Professor Michael Frede who improved my account of Aristotle's logic and provided the references in note 3.

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Note added in proof. After sending this paper to the press I read an unpublished manuscript by Professor M. Tachikawa, entitled 'On *pakṣa*', in which very similar conclusions are reached.

Negation and the Law of Contradiction in Indian Thought: A Comparative Study

J. F. Staal

IN the fourth chapter of book *Γ* of the *Metaphysica* Aristotle deals with the principle of contradiction. This law is formulated as follows: 'it is impossible for anything at the same time to be and not to be'.[1] Let us imagine, says Aristotle, that somebody wished to oppose this view. Our opponent cannot hold a view which contradicts the law of contradiction without assuming the validity of this law itself: for otherwise he is not even denying what we are saying. The only alternative for him, then, will be to say nothing. But this is absurd: 'for such a man, as such, is from the start no better than a vegetable'.[2]

We are often told that Indian philosophers do not accept the law of contradiction. This may well be one of the causes of the neglect of Indian thought by Western philosophers: for nobody desires to study a body of propositions when he is at the same time told that their contradictories may hold as well. Is it perhaps a new—and according to some superior—kind of logic to which we are invited to accustom ourselves? Many may not feel the need for what would amount to a radical conversion. Nevertheless such a requirement seems implied in statements like the following, where a Western scholar speaks about principles such as the law of contradiction: 'But the Eastern mind is convinced that, taking together all the circumstances in which we need our thinking to give us adequate guidance, it would be fatal to allow ourselves to be enslaved by these principles'.[3] After stating this the author goes on to quote a Buddhist principle which indeed

contradicts the law of contradiction.[4] The question arises whether 'the Eastern mind' has in its entirety thrown the law of contradiction overboard.

The aim of the present study is to see how Indian thinkers treat contradictions and what explicit rules are given for the treatment of contradictions. If Indian philosophers are either unaware of contradiction or deny the validity of the principle of contradiction, the structure of Indian logic would seem to be so fundamentally different from the structure of Western logic, that the possibility of mutual understanding may become questionable. If, on the other hand, the principle of contradiction is either applied implicitly or laid down explicitly, this may be variously interpreted: there may be historical connexions between India and the West which account for certain influences; there may be a connexion between the logical law and the structure of Indo-European, manifest in both Greek and Sanskrit; there may be a general linguistic background to the law of contradiction; or finally, the law may be a universal logical law—whatever that may mean. A discussion of the question, whether Indian philosophers are to be considered vegetables, may therefore constitute a chapter of comparative logic.

The Sanskrit term which seems to correspond most closely to the Western term contradiction is derived from a root *sidh*-meaning 'to keep away'. The noun *sedha* derived from this root denotes 'keeping away', and the nouns *niṣedha* and *pratiṣedha* have a similar meaning, which can be sometimes further specified as 'prohibition, negation'. The latter term leads to the formation of the noun *vipratiṣedha* meaning 'mutual prohibition' or 'contradiction'.

An early technical or semi-technical use of the term *vipratiṣedha* occurs in Āpastamba's *Śrauta-sūtra* (between 400 and 200 B.C.), where during the offering the Vedas are assigned to the various sacrificers in the following manner[1]: 'The *hotṛ* sacrifices with the Ṛgveda; the *udgātṛ* with the Sāmaveda; the *adhvaryu* with the Yajurveda; the *brahman* with all. When it is expressly said, or in case of contradiction (*vipratiṣedha*), another (priest) may sacrifice'. Instead of *vipratiṣedhāt* the partly parallel text of Hiraṇyakeśin's *Śrauta-sūtra* has *asaṃbhavāt* 'if it is impossible'. Both

passages refer to cases where a priest is unable to sacrifice in accordance with what is prescribed for him on account of one rule or one established practice, because he is already engaged on account of another rule or other rules.[2] The last *sūtra,* therefore, formulates a principle which holds in cases of mutual contradiction between two rules applicable to the same situation. It is a rule for the manipulation of other rules, a *paribhāṣā* 'meta-rule', and it is accordingly placed in the last part of the *Āpastamba-śrauta-sūtra,* which consists of the *yajña-paribhāṣā-sūtrāṇi* 'meta-rules regarding the sacrifice'. The term *vipratiṣedha* is a term which applies to the contradictions between formulated rules, and not for instance between entities.

It is characteristic for Indian thought that at an early stage of development the distinction between language and meta-language was made. This is connected with the fact that the subject-matter for various kinds of investigations was a large body of linguistic material, the Vedic texts which were considered transcendent and revealed (*śruti*). The *sūtra* literature on the one hand embodies Vedic passages and continues to prescribe forms of activity in a Vedic fashion, and on the other hand interprets Vedic passages. This literature therefore does not only deal with ritual activity, but deals also with statements regarding ritual activity. In the first respect it constitutes a language dealing with the ritual as object material, in the second respect it constitutes a meta-language dealing with the language which deals with the ritual. The *paribhāṣā* rules, more specifically, were explicit meta-linguistic rules for the manipulation of Vedic passages.

With the development of grammar there is a shift in two respects. On the one hand the object material is new: it is neither the ritual, nor Vedic passages dealing with the ritual, but it is the spoken language (*bhāṣā*) and, to a limited extent, the Vedic language (*chandas*).[1] On the other hand it is not Vedic passages, but the rules of grammar themselves which are the subject of a meta-linguistic investigation. The same term, *paribhāṣā,* applies to rules of this meta-language. The importance of these meta-rules increases when the rules of the grammar of Pāṇini are accepted as authoritative.

In dealing with linguistic problems the grammatical description is mainly confined to the analysis of words (*pada*) and grammar has therefore been called *pada-mīmāṃsā* 'investigation into words'. While it is sometimes rightly stressed that the Sanskrit grammarians neglected or paid little attention to syntax, it is not always realized that grammar was in this respect supplemented by the *vākya-mīmāṃsā* 'investigation into sentences', another name for the most orthodox among the systems of philosophy, more generally known as Pūrva-mīmāṃsā, Karma-mīmāṃsā, or merely Mīmāṃsā.[2] Some syntactical principles of Mīmāṃsā will occupy us here. This philosophical system is the direct successor to the *sūtra* literature, for it systematizes the interpretation of Vedic sentences and evolves general canons of interpretation.[3] Also here general rules of a meta-linguistic nature, dealing with the interpretation of Vedic statements, are given. Such meta-rules are often called *nyāya.* These rules are further used and developed in *dharmaśāstra.* The term *nyāya* is later commonly used to denote logic and the system of logic. We have emphasized elsewhere that the early use of the term *nyāya* as synonymous with *paribhāṣā* may be an indication that elements and laws of Indian logic can be traced back to the discussion on problems of language and meta-language in earlier systems and especially in grammar.[4]

Problems of contradiction are dealt with in this meta-linguistic context in grammar as well as in Mīmāṃsā.[1] Pāṇini (*c.* 350 B.C.) gives the following meta-rule: 'in case of contradiction (between two rules) the later (rule) is to be applied'.[2] Here 'later rule' denotes a rule which occurs later in the sequence of rules in Pāṇini's grammar.[3] Patañjali (? second century B.C.) discusses this *sūtra* in the *Mahābhāṣya*[4] and pays special attention to the term *vipratiṣedha.* After giving the etymology he explains it by *itaretara-pratiṣedha* and *anyo'nya-pratiṣedha* 'mutual prohibition'. He proceeds to quote the following *vārttika: dvau prasaṅgāv anyārthāv ekasmin sa vipratiṣedhah* 'if two rules with different meaning apply to one (word) this is *vipratiṣedha*'.[5] He adds that this application should be possible 'at thé same time'(*yugapad*) and gives the following example. According to Pāṇini, 7.3.102, long *ā* is substituted for final *a* of a nominal stem before

terminations beginning with *y* or *bh*.[6] This enables us to form *vṛkṣāya* 'to the tree', *vṛkṣābhyām* 'to both trees', and apparently **vṛkṣābhyaḥ* 'to trees', from the nominal stem *vṛkṣa-* 'tree'. The following *sūtra,* 7.3.103, prescribes the substitution of *e* for this *a* before a plural termination beginning with *bh* or *s*. This accounts for the formation of *vṛkṣeṣu* 'among trees'. But as *-bhyaḥ* is a plural termination, the second *sūtra* applies also to this case and enables us to form *vṛkṣebhyaḥ* 'to trees'. The two rules form in this respect a *vipratiṣedha* 'contradiction'. Then, according to the *paribhāṣā*, as the second rule comes after the first, the second prevails and *vṛkṣebhyaḥ* is explained while **vṛkṣābhyaḥ* is not. We are perhaps inclined to regard the second rule as an exception (*apavāda*) to the first, but this does also produce the same result: for there is a *paribhāṣā* which states that the exception is stronger than the general rule.[7]

The above discussion can be formalized along the following lines. Let the *sūtras,* which are propositions, be ordered (as they are in Pāṇini) and be denoted by ϕ_1, ϕ_2, ..., and let $\phi_i < \phi_j$ denote that ϕ_i precedes ϕ_j in this list.[8] In addition let $\phi_i \mathbf{o} \phi_j$ denote that ϕ_i and ϕ_j are contradictory propositions. Now Pāṇini's propositions generally deal with linguistic predicates F(x), G(x), ... which have individual words or other sounds x, ... as their values.

As most rules state that a certain predicate holds under certain conditions, we may consider all and only those ϕ_i which can be written in the form:

$$(x) [F_i(x) \rightarrow G_i(x)]. \tag{1}$$

According to the definition of *vipratiṣedha*, $\phi_i \mathbf{o} \phi_j$ if and only if:

$$\sim (Ex) [G_i(x) \wedge G_j(x)]. \tag{2}$$

The *paribhāṣā* states (in the following formula connectives and parentheses are printed in bold face in order to denote that they are used in the formalization of the meta-theory):

$$\mathbf{[} \, \mathbf{(} \, \phi_i < \phi_j \, \mathbf{)} \, \boldsymbol{\wedge} \, \mathbf{(} \, \phi_i \, \mathbf{o} \, \phi_j \, \mathbf{)} \, \mathbf{]} \boldsymbol{\rightarrow} \phi_j \, . \tag{3}$$

This *paribhāṣā* presupposes an actual contradiction. For (3) is only meaningful if ϕ_i and ϕ_j apply to the same case, i.e. if:

$$(Ex)\ [F_i(x) \wedge F_j(x)]. \tag{4}$$

However, (4) and (1) yield:

$$(Ex)\ [G_i(x) \wedge G_j(x)], \tag{5}$$

which contradicts (2). Then, if $\phi_i < \phi_j$, we derive from (3) the proposition ϕ_j or: $(x)\ [F_j(x) \rightarrow G_j(x)]$. As there is an x such that $F_j(x)$ according to (4), we can derive $G_j(x)$ for that x.

This argument depends on a contradiction which is assumed to hold between (2) and (5), i.e. on a law of contradiction for propositions of the form:

$$\sim (\phi \wedge \sim \phi). \tag{6}$$

The analysis therefore shows what the formulation of the *paribhāṣā* already suggests, namely that the argument presupposes the validity of the principle of contradiction.

The *Kāśikā*,[1] a later commentary (seventh century A.D.) on Pāṇini's grammar defines *vipratiṣedha* in the same way, having first characterized it as *tulya-bala-virodhaḥ* 'opposition (between two propositions) of equal force'. The same definition is given by Uvaṭa in his commentary on the *Vājasaneyi-prātiśākhya*.[2] The term *virodha*, which according to the above definition has a wider denotation than *vipratiṣedha*, is also utilized for contradictions between two possible interpretations in the *sūtra* literature.[3]

In Mīmāṃsā, where the same *paribhāṣā* holds,[4] both *niṣedha* and *pratiṣedha* denote 'prohibition'. As in India the science of grammar is primarily descriptive and not prescriptive,[5] the grammatical *sūtras* are propositions where the verb occurs in the *indicative* mood or the construction is purely nominal. Mīmāṃsā, on the other hand, is primarily concerned with Vedic injunctions which contain a verb in the *optative* mood. The principal part of such an injunction is the optative verb form, and the principal part of the optative verb form is the ending, not the verbal root.

This doctrine is first formulated for positive injunctions (*vidhi*), but is subsequently transferred to negative injunctions or prohibitions. Such a view can be arrived at on account of the use of prohibitions such as *na bhakṣayet* 'he shall not eat', which in English should be interpreted as 'he shall-not eat', not as 'he shall not-eat'. Such a negative injunction does not enjoin an action which is not-eating, i.e. any definite action different from eating, but it prohibits eating.[1]

This distinction is interesting and seems to go a step beyond the Aristotelian doctrine of negation which is at the base of the modern logical notation. Aristotle evolved a theory of negation for propositions which will be called 'the original doctrine of negation'. This theory was extended in one direction to quantified sentences, thus arriving at the distinction between contrary and contradictory, and in another direction to modal propositions. The philosophers of the Mīmāṃsā system extended a similar underlying doctrine of negation to a class of non-indicative propositions, namely injunctions. To express this precisely and formally we shall need a special notation, which may be arrived at by first considering Aristotle's extensions.

In the *De interpretatione* Aristotle gives the original doctrine of negation. He says that the negation of 'man walks' (τὸ ἄνθρωπος βαδίζει) is not 'not-man walks' (τὸ οὐκ ἄνθρωπος βαδίζει), but 'man does not walk' (τὸ οὐ βαδίζει ἄνθρωπος).[2] This is reflected in the modern notation, where the negation of F(x) is not defined as F(~ x), but as ~ F(x).[3] The latter expression is in modern logic formed according to rules of formation so that it means ~ [F(x)]. Other expressions such as (~F) (x) are not defined and can only be expressed adequately when use is made of Church's λ-operator (e.g. [~ λx.F(x)](x), provided the negation sign is defined in this context).

In the theory of quantified sentences we arrive at contradictories (ἀντικειμένα) if the quantifier is negated, and at contraries (ἐναντίαι) if the copula, i.e. the verb, is negated.[4] This can be formalized along Aristotelian lines by considering the four kinds of quantified sentences as follows:

$$\text{SaP} \qquad (x)F(x) \tag{7}$$

$$\text{SeP} \qquad (x) \sim F(x) \qquad \text{or:} \quad \sim (Ex)F(x) \tag{8}$$

$$S_iP \qquad (Ex)F(x) \tag{9}$$

$$S_oP \qquad (Ex) \sim F(x) \qquad \text{or}: \quad \sim (x)F(x) \tag{10}$$

Here (7) and (10) are contradictories, (8) and (9) are contradictories, (7) and (8) are contraries, and (9) and (10) are contraries (traditionally, subcontraries).

In Aristotle's modal logic a detailed theory is given for the relationship between negation and the four modal functors.[5] It is not explicitly stated what is the negation of the individual modal functors, for example the negation of the necessity functor N[F(x)] 'it is necessary that F(x)'. Hence it is uncertain whether this negation should be interpreted as ~ N[F(x)] 'it is not necessary that F(x)' or as N[~ F(x)] 'it is necessary that ~ F(x)'. Aristotle implicitly accepts the first alternative, so that ~ N[F(x)] actually seems to denote (~ N)[F(x)]. It is obvious that special formation rules would be needed if this situation were to be fully expressed.

The Mīmāṃsā thinkers consider exactly this question. Let the injunction 'he shall eat', which can be considered derived from the proposition 'he eats', be denoted by N[F(x)], where F(x) denotes 'he eats'. This formalization is suggested by the fact that an injunction 'he shall eat' can under certain circumstances be interpreted as a necessary sentence 'it is necessary that he eats'. The Mīmāṃsā doctrine then states that a prohibition (*niṣedha*) or the negation of an injunction N[F(x)] is not N[~F(x)] but ~ N[F(x)], just as the negation of 'he shall eat' is not 'he shall not-eat' but 'he shall-not eat'. Here also ~ N[F(x)] denotes (~N)[F(x)]. The formation rules required here presuppose that along with the injunctive functor N a prohibitive functor (~ N) has been introduced at the start. This requirement is fulfilled in Mīmāṃsā, where the Vedic utterances are initially subdivided into five groups, including along with *vidhi* 'injunction' also *pratiṣedha* or *niṣedha* 'prohibition'.[1]

The question arises whether any meaning is to be attached to the expression N[~ F(x)], just as it is not impossible to conceive that a meaning could be attached to the expression F(~ x), which in modern logic is not a well-formed expression. The Mīmāṃsakas denote all cases of a negation of

an injunction which are not *pratiṣedha* or *niṣedha* by the term *paryudāsa* which is generally translated as 'exclusion'. Their main doctrine in this respect is succinctly expressed in the following verse, where the negative is denoted by *nañ:*

> *paryudāsaḥ sa vijñeyo yatro'ttarapadena nañ*
>
> *pratiṣedhaḥ sa vijñeyaḥ kriyayā saha yatra nañ*

'exclusion (*paryudāsa*) is to be understood where the negative (is connected) with the next word[2]; prohibition (*pratiṣedha*) is to be understood where the negative (is connected) with the verb(al ending)'.[3]

There are two kinds of 'next words' with which the negative can be connected: (1) a verbal root; (2) a noun. We shall consider each of these two shortly.

(1) There are sentences[4] such as *nekṣeta* 'he shall not look' where nothing can be prohibited because the sentence is introduced as a positive injunction by a kind of injunctive functor, e.g. because the words are preceded by the phrase *tasya vratam* … 'his vows are …'. Such a sentence positively enjoins something opposed to looking (*īkṣaṇa-virodhī*), which can be formulated by means of the expression 'not-look'(*nekṣe*, i.e. in Edgerton's words 'the combination *nekṣeta* "he shall not look" minus the optative ending').[1] This is expressed by the formula N[~ F(x)], where ~ F(x) denotes 'not-look'.

(2) There are also sentences of quite a different type, where a noun (or, in logic, a term) is negated,[2] for example *nānuyājeṣu yeyajāmahaṃ karoti* 'not at the after-sacrifices does he say *ye-yajāmahe*'. Here the context shows that this does not mean *anuyājeṣu yeyajāmahaṃ na kuryāt* 'at the after-sacrifices he shall not say *ye-yajāmahe*', but it means *anuyājavyatirikteṣu yeyajāmahaṃ kuryāt'* at sacrifices other than the after-sacrifices he shall say *ye-yajāmahe*'. This can only be expressed formally if the injunction is not derived from a predicate but from a relation, for instance F(x, y) denoting: 'at the after-sacrifices (x) he says

ye-yajāmahe (y)'. Hence the injunction can be written as N[F(x, y)] and this kind of negation or *paryudāsa* as N[F(~ x, y)], which again is a positive injunction.

In grammar an analogous distinction is made.[3] Exclusion and prohibition are respectively called *paryudāsa-pratiṣedha* and *prasajya-pratiṣedha*,[4] and an almost identical verse is quoted:

> *paryudāsaḥ sa vijñeyo yatro'ttarapadena nañ*
>
> *prasajyapratiṣedhas tu kriyayā saha yatra nañ.*

Renou, who mentions this verse, quotes the following example from the *Nyāsa* of Jinendrabuddhi (? eighth century A.D.).[5] The interpretation of the negative prefix *a*-in the word *a-kartari* occurring in Pāṇini, 3.3.19, *akartari ca kārake saṃjñāyām,* is under discussion. If this negation is interpreted as *paryudāsa* the meaning would be '(The suffix *ghañ* is applied) to case relationships different from the nominative'. If the negation is interpreted as *prasajya* the meaning would be '(The suffix *ghañ* is) not (applied) to the nominative (but is applied) to case relationships'. The first interpretation should be rejected, for the nominative is a case relationship and the word *kāraka* 'case relationship' would hence be superfluous, which conflicts with a well-known economy criterion.[1]

The difference between on the one hand the grammatical distinction between two types of negation and on the other hand the Mīmāṃsā distinction between three types reflects the fact that grammar is descriptive and deals with propositions, while Mīmāṃsā is prescriptive and deals with injunctive functors. In formalizing the grammatical propositions, expressions of the type F(x) are sufficient and there is no need for an injunctive functor N. The above distinction could for instance be formalized by expressing the proposition 'the suffix *ghañ* (a) is applied to x' by F(a, x) and by abbreviating the nominative as n and a case relationship as c. Then the *paryudāsa* interpretation is given by:

$$F(a, c \land \sim n), \qquad\qquad (11)$$

while the *prasajya* interpretation is given by:

$$F(a, c) \wedge \sim F(a, n). \tag{12}$$

The second type of *paryudāsa* in Mīmāṃsā comes into being on account of the fact, that the negation can be attached to either N or F. This is impossible in grammar. The relation between Mīmāṃsā and grammar can be summarized in the following table, where the characteristic structure of each operation is given by means of a formal expression:

Mīmāṃsā	Grammar
vidhi: N[F(x)]	*sūtra*: F(x)
niṣedha: (~ N) [F(x)]	*prasajya-pratiṣedha*: ~ F(x)
paryudāsa II: N[F(~ x)]	*paryudāsa-pratiṣedha*: F(~ x)
paryudāsa I: N[(~ F)(x)]	_____

The Mīmāṃsā concepts of *niṣedha* and of two types of *paryudāsa* constitute a logical system of negations which is quite different from the Aristotelian doctrines of negation which are at the base of modern formulations and also of the modern symbolical notation. We have seen that the formation rules which express the structure of the modern notation and determine whether an expression is well-formed or not, depend on Aristotle's analysis of negation. It is important to realize that these differences in logical structure between India and the West do not imply and are not implied by similar differences in the *total* linguistic structure of the languages in which the logical doctrines were evolved. The linguistic background of the Indian concepts in Sanskrit is quite expressible and intelligible in, e.g., Greek or English. This may go far to show that logical doctrines may have been evolved along the lines suggested by various *partial* structures of ordinary language. The limitations of logical systems, Western as well as Indian, can be studied when it is precisely known which linguistic structure of a language system is at the background of a particular logical system.

In the present context this may be illustrated by writing in a table: A, the name of the operation concerned; B, the formal expression for it; and C, the

linguistic structure to which it is related, as exemplified by a simple English sentence:

A	B	C
	F(x)	the door is locked
vidhi	N[F(x)]	the door should be locked
niṣedha	(~ N)[F(x)]	the door should not be locked
paryudāsa I	N[(~ F) (x)]	the door should be unlocked
paryudāsa II	N [F(~ x)]	another door should be locked

While we find in the Mīmāṃsā doctrines a very refined theory of the negation of injunctions, there is no discussion, apparently, of a principle of contradiction. At first sight the reason for this may seem to be that all injunctions which Mīmāṃsā discusses are Vedic statements which are considered revealed texts (*śruti*), so that contradictions are *a priori* excluded. The Mīmāṃsā position is similar to that of any other hermeneutic system of thought which attempts to reconcile a number of statements which are not necessarily compatible, such as some theological systems in the Western monotheistic religions. Historically this fact may partly explain the origination of certain logical doctrines concerning negation. But the inner structure of the logical concepts themselves explains the absence of a law of contradiction. This can be shown for each of the negations considered earlier. In terms of Western logic we should be prepared to find:

$$\sim (N[F(x)] \wedge \sim \{N[F(x)]\}), \tag{13}$$

for this is nothing but a substitution result of the law of contradiction ~ (A ∧ ~ A). This is no compelling reason, however, to be certain that each of the following principles should hold:

$$niṣedha: \qquad \sim \{N[F(x)] \wedge (\sim N) [F(x)]\} \tag{14}$$

$$paryudāsa\ I: \qquad \sim \{N[F(x)] \wedge N[(\sim F)(x)]\} \tag{15}$$

$$paryudāsa\ II: \qquad \sim \{N[F(x)] \wedge N [F(\sim x)]\}, \tag{16}$$

for these cannot be all considered direct substitution results from ~(A ∧ ~A). That (16) need not be valid is also intuitively clear. This may illustrate the special character of the negations considered here. For the proof of (14), (15), and (16) would depend respectively on proofs of the following three equations:

$$(\sim N) \, [\mathrm{F}(\mathrm{x})] = \, \sim \{N[\mathrm{F}(\mathrm{x})]\} \qquad (17)$$

$$N[(\sim \mathrm{F})(\mathrm{x})] = \, \sim \{N[\mathrm{F}(\mathrm{x})]\} \qquad (18)$$

$$N[\mathrm{F}(\sim \mathrm{x})] = \, \sim \{N[\mathrm{F}(\mathrm{x})]\}. \qquad (19)$$

If these could be proved, however, each of the three negations considered here would be identical with the Aristotelian negation.

While the law of contradiction need not necessarily hold for injunctions which are always injunctions enjoining action, the same law does hold for the results of the activities based upon these injunctions. In the Sanskrit terminology this can be expressed by saying that the law of contradiction need not hold in the realm of what is to be established (*sādhya*), but holds in the realm of what is established (*siddha*). The philosophers of the Uttara-Mīmāṃsā or Vedānta of the Advaita school rejected the Mīmāṃsā interpretation of all Vedic sentences as injunctions dealing with *sādhya.* These Vedāntins considered either all or at least some of the Vedic utterances as dealing with *siddha.* The law of contradiction, therefore, is accepted by the Advaitins for Vedic sentences. Within Indian philosophy this is an extremely important development: the consideration of certain authoritative statements, especially the 'great statements' (*mahāvākya*) in which the Advaitins are especially interested, as propositions, leads to the problem of how such propositions are related to the reality which they describe, and hence to the problem of truth. This is expressed in the Advaita doctrine that the truth regarding an object is 'dependent upon the object' (*vastutantra*).

In the following two passages of the *Brahmasūtrabhāṣya* of the famous Advaita philosopher Śaṅkara (eighth century A.D.) this topic is lucidly expounded. In the first[1] Śaṅkara stresses the fact that option (*vikalpa*) is possible with respect to injunctions only. Paradoxically these injunctions are

exemplified by sentences where the verb occurs in the indicative; but this is not essential, for philosophy may free itself from language and Śaṅkara explicitly speaks about *vidhi* and *pratiṣedha*. There is option, then, according to Śaṅkara, when we meet with positive and negative injunctions such as 'at the *atirātra* sacrifice he takes the *ṣoḍaśin* cup' (*atirātre ṣoḍaśinaṃ gṛhṇāti*) and 'at the *atirātra* he does not take the *ṣoḍaśin* cup' (*nātirātre ṣoḍaśinaṃ gṛhṇāti*); 'he sacrifices after the sun has risen' (*udite juhoti*) and 'he sacrifices when the sun has not yet risen' (*anudite juhoti*).[2] All such injunctions pertain to what is *sādhya*. He then continues: 'But there is no option as to whether a thing is thus or thus, is or is not. Option depends on human notions. Knowledge of the nature of a thing does not depend on human notions. It depends only on the thing itself. To say with regard to a pillar "it is a pillar or it is a man or it is something else" does not result from correct knowledge. To say that it is a man or something else does result from false knowledge. To say that it is a pillar results from correct knowledge, because it depends on the thing itself. Therefore the means of knowing objects, that are existent things, depend on the things themselves'.[3]

In a later passage the concept of knowledge (*jñāna*) is dealt with in a slightly different context, where Śaṅkara speaks about meditation (*dhyāna*), a mental activity which is based upon a special kind of *vidhi*. Knowledge which is expressed in propositions, for which the law of contradiction holds, is not contrasted with injunctions in general, but with meditation. In Advaita *jñāna* acquires the meaning of intellectual knowledge and Śaṅkara thus goes beyond the magical atmosphere of the Brāhmaṇa literature, where an important aspect of *jñāna* can be described as magical identification.[1] In the following passage[2] Śaṅkara has first quoted a *vidhi* which enjoins meditation and then continues: 'If meditation and reflection are mental activities, they can be performed, not performed, or performed differently by man, because they depend on man. But knowledge originates from the means of knowledge, which have as their objects things as they exist. Therefore knowledge cannot be performed, not performed, or performed differently, for it solely depends on the object. It does neither depend on authoritative statements, nor on man'.[3]

These passages show how Advaita constitutes in this respect a return from Mīmāṃsā to the grammatical doctrines.[4] The difference is, that in grammar the law of contradiction is immediately applied to propositions, while in Advaita the law of contradiction is said to hold for propositions because it holds in reality. Śaṅkara's logic is founded on his ontology. This difference partly reflects the different preoccupations of grammarians and philosophers. It shows incidentally that the Advaita position in philosophy is firmly realistic.[5] The linguistic background for both views is that grammarians as well as Advaitins are mainly interested in description and in propositions where the verb occurs in the indicative mood or where the sentence is purely nominal. The Mīmāṃsakas, on the other hand, are interested in prescription and in injunctions where the verb occurs in the optative mood.[6]

The grammarians, accordingly, do not use *vidhi* to denote positive linguistic propositions, but generally employ the term *sūtra* 'rule' and sometimes, more specifically, *utsarga* 'general rule'. The term used for negative linguistic propositions is, as we have seen, either *pratiṣedha* or *niṣedha*. These terms seem to have similar, but not identical functions to the Mīmāṃsā term for 'prohibition', reflecting a trend among the grammarians which deviates from their customary stress on description and emphasis on empirically tested usage (*loka*). There are occasions where the grammarians actually prohibit the use of certain words, which may have been colloquial and which are referred to as *apaśabda* 'incorrect word'. In this connexion Patañjali propounds an interesting analysis of the relationship between positive and negative linguistic rules, which reflects the similar relationship between positive and negative ritualistic rules. The text is as follows[1]:

'Now words have to be examined. How is this to be done? Are (correct) words to be taught, or perhaps incorrect words, or perhaps both? Our purpose will be served by the teaching of either. Thus by a restrictive condition (*niyama*) on what food is fit to be eaten is implied a prohibition (*pratiṣedha*) of what food is not fit to be eaten. For example when we say "Five five-toed animals are fit to be eaten" it is implied that (five-toed animals) different from these are not fit to be eaten. Or alternatively, by a

prohibition of what is not fit to be eaten is implied a restrictive condition on what is fit to be eaten. For example when we say "the domestic fowl is not fit to be eaten, the domestic pig is not fit to be eaten" it is implied that the wild variety (of these animals) is fit to be eaten. This applies also in the present context. If the correct words are taught, for instance when the word *gauḥ* has been taught, it is implied that *gāvī,* etc., are incorrect words. If on the other hand incorrect words are taught, for instance when the words *gāvī,* etc., have been taught, it is implied that *gauḥ* is the correct word'.[2]

This passage gives interesting rules for *pratiṣedha* negations which are closely related to the law of double negation. If N [F(x)] denotes that F(x) is prescribed by means of a restrictive condition (*niyama*), the ritualistic rule first quoted can be written as:

$$N[F(x)] \longleftrightarrow (\sim N)F(\sim x), \qquad\qquad (20)$$

where F(x) denotes: *x bhakṣyam* 'x is fit to be eaten'. The examples which follow correspond to this rule and the grammatical rule can be given in the same form. In all cases Patañjali expresses equivalence by means of bi-conditionals.

That the grammarian concept of *pratiṣedha,* however, is not the same as the Mīmāṃsā concept is shown by Patañjali in another passage, where the law of contradiction is explicitly formulated in the following terms: *vidhipratiṣedhayor yugapad vacanānupapattiḥ* 'it is impossible for a statement to express simultaneously a *vidhi* and a *pratiṣedha*'.[1] This corresponds to:

$$\sim \{N[F(x)] \wedge (\sim N) [F(x)]\} \qquad\qquad (21)$$

and confirms the view that the grammarians, like the Advaitins, deal with indicative sentences, where the law of contradiction holds, while Mīmāṃsakas deal with injunctions, where the law of contradiction need not hold. In grammar, then, *vidhi* means rule or positive statement, and not injunction.

These passages enable us to see what is the precise structure of the negations concerned. If numerous texts of this type could be found and

analysed, it would enable us to construct complete lists of formation rules. In the present context our purpose is merely to draw attention to logical possibilities which are different from those generally considered and which show that both Western and Indian concepts of negation are the product of a particular development.

The law of double negation is explicitly given in the *Pradīpa* of Kaiyaṭa, a grammatical commentary of the eleventh century. It is formulated as follows: *pratiṣedhapratiṣedhād vidhir bhavati* 'the prohibition of a prohibition gives an injunction'.[2] This could probably be expressed by:

$$\sim \sim N[F(x)] \to N[F(x)] \qquad\qquad (22)$$

since: (~ N) [(~ N) F(x)] is not defined. The Sanskrit dictionary of V. S. Apte quotes a grammatical rule regarding the use of the particle of negation *na* which is also called *niṣedha.* The source is not given. The rule is: *dvau niṣedhau prakṛtārthaṃ gamayataḥ* 'two particles of negation give the meaning of the original'.[3] These formulations of the law of double negation precede by centuries the purely logical laws of double negation propounded in *navya-nyāya* and studied by Ingalls.[4]

We have seen that the grammarian and Advaitin doctrines of negation have a linguistic background in the structure of the indicative mood of the verb, while the Mīmāṃsā doctrine of negation has a linguistic background in the structure of the optative mood of the verb, which is reflected also in the imperative. The grammatical rule about two consecutive negative particles cancelling each other draws our attention to the linguistic background of the law of double negation. It is well known that in Indo-European two negatives can either cancel each other or supplement each other. This is a linguistic fact which can be observed in Sanskrit as well as in Greek. It is not very hazardous to assume that the cancelling particles of negation in ordinary language are at the background of the logical law of double negation.

Delbrück called the accumulative use of more than one negative particle 'Ergänzungsnegation' and gave examples from Sanskrit, Lithuanian, Slavonic, and Greek.[1] Accumulative negation is also often found in modern

languages.[2] It seems again likely that this use is at the background of the logical systems which reject the law of double negation, either in Navya-nyāya or in Intuitionism.[3]

The distinction between the negation of terms and the negation of sentences or predicates is also related to certain facts of language. It is well known that in Indo-European there are two forms of negation: sentence negation, expressed by *ne* (*nē*) and *mē,* and word negation, expressed by the so-called privative prefix.[4] Chinese has the analogous distinction between respectively *pu* and *fei*,[5] and A. C. Graham has quoted a passage where a law of contradiction is formulated in terms of the term negation *fei*.[6] Inspection of the Sanskrit passages discussed in the above shows that the sentence negation *na* is used in all cases. There is one case, however, where the privative syllable *a*(*n*)-could have been used. In this case negation of a term was used in the formalization despite the fact that this is not permitted in the customary notation of modern logic. Here, when the ambiguous use of the sentence negation *na* in *nānuyājeṣu* … 'not at the after-sacrifices …' is explained by *anuyājavya-tirikteṣu* 'at sacrifices other than the after-sacrifices', it would have been possible to explain this merely as *an-anuyājeṣu* 'at the "un"-after-sacrifices'. Though this form is not given in the text, the explanation given there confirms this view: 'because the negative (*nañ*) is combined with the word "after-sacrifices" (*anuyāja*) we have a case of *paryudāsa.* For the negative and the word after-sacrifices together denote what is other than the after-sacrifices'.[7]

Whenever the two negatives remain clearly distinct there is no danger of confusion and logicians can clearly distinguish between negation of terms and of predicates and study the relationships between both. Logical problems arise whenever the sentence negation is used or functions as word negation, and vice versa. In Indo-European both possibilities are realized, though infrequently. In Vedic *nákis* can mean 'nobody' ('not anybody'), but more often it merely means 'not' or 'never' and is applicable tó the whole sentence.[1] A similar transference of the sentence negative *na* to a term is found in the adverb *naciram* 'not long', which can be explained as a

development from sentences of the type *na ciraṃ vasati* 'he does not stay long'.[2]

The Sanskrit grammarians, on the other hand, mention a case where the privative syllable is attached to a verbal form, which thereby acquires a special meaning. This forms an exception to Pāṇini, 2.2.6, *nañ* 'the negative particle (combines with a noun)', and is given by the *Kāśikā* when commenting upon this *sūtra.* The form given is: *apacasi* 'you are a bad cook, you cook badly', from *pacasi* 'you cook'.[3] Pāṇini describes the word negation *a(n)*-as derived from the sentence negation *na* which loses its initial n.[4] While this is for Pāṇini a matter of descriptive grammar, it also holds historically.[5]

Aristotle in the sentences discussed earlier uses the Greek sentence negations *μή* and *οὐκ* (for Indo-European *ne*)[6] also for the negation of terms and nouns. Not only *τὸ μὴ ε⌣ίναι λευκόν*, but also *τὸ ε⌣ίνναι μὴ λευκόν*, and not only *τὸ οὐ βαδίζει ἄνθρωπος*, but also *τὸ οὐκ ἄνθρωπος βαδίζει*. It is not surprising, therefore, that Bocheński finds that Aristotle 'struggled hard with the initial confusion of the negation of a sentence with the negation of its terms'.[7] The Indian thinkers were used to the grammarian's distinctions and do not seem to have been similarly confused, as the Mīmāṃsā doctrines quoted above show. In addition Indian philosophers have always been used to dealing skilfully with negations. On the one hand a rich and ramified negative theology developed round the use of the sentence negative in passages such as the *mahāvākya* ('great statement') *neti neti* 'not thus, not so'.[8] On the other hand the negative prefix is used in many cases where Western thought seems inclined to employ a positive terminology.[9]

In Indian logic, lastly, extensive use is made of the prefix *vi*-which further specifies the function of the privative syllable *a(n)*-. The Buddhist logicians called *sapakṣa* any locus where the *hetu* 'reason' occurs. A locus where the *hetu* does not occur is called *asapakṣa,* later *vipakṣa.* Dharmakīrti (seventh century A.D.) formulates the relationship between these two terms by means of the quantifier *eva* 'only'. In his formulation 'occurrence of the reason in *sapakṣa* only' (*sapakṣa eva sattvam*) is equivalent to 'non-occurrence in *asapakṣa* of the reason only'(*asapakṣe cāsattvam eva*).[10] This

leads to the discovery of the law of contraposition and to further developments.[11]

The Indian logicians are mainly interested in contradiction in connexion with the doctrine of inference. Instead of the term *vipratiṣedha* or related terms, use is made of the terms *viruddha* and *virodhī*, which we have seen used as general terms applied to cases of opposition in grammar as well as in Mīmāṃsā. In the *Nyāya-sūtra* (? second century A.D.) a *hetu* 'reason' is called *viruddha* 'opposed', when it opposes a conclusion (*siddhānta*) which has been established.[1] Later, *viruddha* occurs among the fallacious reasons (*hetvābhāsa*) and a *hetu* is called *viruddha* if it is the opposite of the *sādhya* 'what is to be proved'. For example, the inference *śabdo nityaḥ kṛtakatvāt* 'sound is eternal because it is created' is invalid, for creation and eternity are each other's opposite.[2]

In Indian logic the law of contradiction is widely utilized, explicitly as well as implicitly. One of the most explicit formulations is due to Udayana (tenth century A.D.) and is quoted by D. M. Datta.[3] It runs as follows: *paraspara-virodhe na prakārāntarasthitiḥ* 'when two are mutually opposed there is no occurrence (of both) within the same class'.[4] Implicitly the principle of contradiction is presupposed in most of the logical discussions of *Navya-nyāya.* It becomes explicit when it is attempted to give a detailed formalization of logical arguments.[5]

The doctrines which have been discussed in this paper belong to numerous systems of thought and it would require much more space to study them fully within their own contexts. However, from the general logical viewpoint adopted here, the various interconnexions between the Indian systems on the one hand, and Aristotle on the other hand, have been more apparent than their divergent backgrounds. We have seen that in India, the law of contradiction is formulated and strictly adhered to in grammar, in Advaita Vedānta, and in logic. In Mīmāṃsā the law of contradiction is discarded.[6] The reason for this is not a mystical tendency, which rejects or merely neglects all intellectual distinctions, but a consistent unfolding of the implications inherent in a particular kind of negation. The law of contradiction is then seen to be dependent on the kind of negation which is

used in its formulation. Directing our attention to the different types of underlying negations, we have seen that these can be related to various negations used in ordinary language. These negations occur in Sanskrit as well as in Greek and in other Indo-European languages. The principal distinction is that between the negation of nouns and the negation of verbs, a distinction which also obtains in Chinese and probably in numerous other language types. In as far as syntax, logic, and philosophy are mainly interested in propositions or sentences, the negation of the verb, which generally constitutes the negation of the sentence itself,[1] is the most important negation in the present context. However, the verb possesses several moods and negative particles do not function in the same way in each of these. In particular, the negative particle is combined with the indicative (and therefore also with purely nominal sentences, which mostly have an indicative character[2]) in such a manner, that sentences with and without the negative particle exclude each other. This leads to the law of contradiction formulated in terms of indicative sentences. When the particle of negation is used with other moods, however, in particular with the optative or the imperative, sentences with and without negation do not function in this exclusive fashion. For such sentences, therefore, the law of contradiction need not hold. This is fully recognized in Mīmāṃsā, a system of thought which is mainly interested in injunctions generally formulated with the help of the optative mood of the verb.

We may now return to our point of departure. Aristotle's defence of the law of contradiction reflects the emphasis he lays upon indicative sentences. That Western logic has found it useful to develop further along similar lines is not surprising, for indicative sentences are those which are used in all descriptive systems, in particular in science. However, if the logical structure of prescriptive sentences had been studied in greater detail (a study which Aristotle had undertaken from a particular point of view in his modal logic), Western logic might have arrived at different doctrines of negation and contradiction in addition to the traditional Aristotelian doctrines. This was done in India in Mīmāṃsā and in the legal literature of *dharmaśāstra*, and to a limited extent in grammar. A similar development in Western logic

could have been equally useful in Western prescriptive sciences, for instance in law, in ethics, and, to a limited extent and from a particular point of view, in grammar.[1] The fact that this has not been done may account for the characteristically Western situation, where the sciences have evolved a logical structure which is far superior to the logical structure of, e.g., law or ethics. In India, on the other hand, Mīmāṃsā possesses in principle as scientific a structure as grammar or logic have. It could be said that in the West in general there is an over-emphasis on indicative sentences, which is similar to the often-stressed over-emphasis on the subject-predicate structure. In fact, the latter is mainly available within the framework of the former.

There is no need to explain the law of contradiction in Indian thought as the result of a possible Western influence. On the contrary, it reflects a use of negation which can be found in all Indo-European languages, and probably in many other languages. The last problem which may therefore be raised in this connexion is the Wittgensteinian problem of the relation between language and logic or between language and thought in general. Does the material discussed in the present paper give support, or provide counter-examples, to the thesis that thought depends on language?

In its original form this thesis, either in the manner in which it was analysed by Wittgenstein, or in the manner in which it was suggested by Whorf and by other linguists,[2] is almost certainly unverifiable. In addition Wittgenstein's own method, confined as it was to German and to English, could never attain a satisfactory degree of universality. It has therefore rightly been suggested that the thesis could be tested by the empirical study of linguistic material from divergent sources.[3] The present study, which was partly undertaken in a similar spirit, may show that we are only at the beginning of possibly extensive investigations into the relationships of particular logical, philosophical, and grammatical doctrines with particular linguistic structures of the languages in which they are expressed. These investigations may be particularly illuminating when comparative studies are made of the linguistic structure of a language, in which relatively highly developed logical, philosophical, and grammatical doctrines are available.

This requirement is obviously fulfilled in the case of Sanskrit and Indian thought, and it may to a smaller extent be fulfilled with respect to Chinese.

From this point of view the provisory results of the present paper can perhaps be formulated as follows. It could be shown, perhaps somewhat unexpectedly, that neither the linguistic structure of Sanskrit, nor that of Greek, leads to a particular logical structure. In a detailed investigation it makes no sense to speak of *the* structure of a language. It has been seen, however, that certain structures of language, which are available in Sanskrit, in Greek, and in other languages, are related to particular logical doctrines. The problem then becomes, to see which particular linguistic structure is related to which particular logical doctrine. In the present study some examples of such relationships have been given. On the basis of similar investigations it may be possible to reach more general conclusions.

Does this finally imply that logic or thought in general can be derived from language? The answer must, for the time being, remain uncertain, but we have no good reason as yet to believe that it might turn out to be in the affirmative. For language itself, in order to function, has to obey certain rules, some of which may be made explicit as syntactical rules. Such rules may also be reflected in logical rules and in rules of thought. But while logical rules cannot be reached and formulated without a linguistic background and without a linguistic framework, no language can function without a logical structure which is implicit in it.[1]

[1] *Met., Γ* 4, 1006 a 3–4. Other statements of this law have been formalized by I. M. Bocheński, *Ancient formal logic*, Amsterdam, 1951, 38–40; cf. also J. L. Ackrill, *Mind*, LXII, 1953, 110–12.

[2] ibid., 14–15; cf. translation of W. D. Ross, Oxford, 1908.

[3] E. A. Burtt, 'What can Western philosophy learn from India?', *Philosophy East and West*, v, 1955–6, 202.

[4] The principle called *catuṣkoṭi*. See P. T. Raju, 'The principle of four-cornered negation in Indian philosophy', *Review of Metaphysics*, VII, 1954, 694–713; T. R. V. Murti, *The central philosophy of Buddhism*, London, 1955, 129–31, 146–8. The earliest occurence perhaps in the Pali canon is *Majjhima-nikāya, sutta* 63 (transl. H. C. Warren, *Buddhism* in *translations*, Cambridge, Mass., 1946, 117–22). For a formalization see: H. Nakamura, 'Buddhist logic expounded by means of symbolic logic', *Journal of Indian and Buddhist Studies*, VII, 1958, 384–5. The same formalization in an earlier Japanese version (in *Indogaku Bukkyōgaku kenkyū*, III, 1954, 223–31) was criticized by R. H. Robinson, 'Some logical aspects of Nāgārjuna's system', *Philosophy East and West*, VI, 1957, 302. The validity of this criticism may be questioned.

1 *Āpastamba-śrauta-sūtra,* 24.1.16–20.

2 W. Caland in his translation *ad loc.* specifies this by the following example: 'Z. B. muss ein anderer als der Adhvaryu, da dieser beschäftigt ist, das Opfertier losbinden'.

1 See especially P. Thieme, *Pāṇini and the Veda,* Allahabad, 1935, 67 sq.; L. Renou, *La Durghaṭavṛtti de Śaraṇadeva,* I, 1 (introduction), Paris, 1940, 7–8.

2 cf. L. Renou, *Études védiques et pāṇinéennes,* VI (Le destin du Véda dans l'Inde), Paris, 1960, 66.

3 Mīmāṃsā is closest to the *paribhāṣā* sections of the *sūtras.* See D. V. Garge, *Citations in Śabara-bhāṣya,* Poona, 1952, 50 sq.

4 J. F. Staal, 'The theory of definition in Indian logic', *JAOS,* LXXXI, 2, 1961, 124.

1 See L. Renou, 'Connexions entre le rituel et la grammaire en sanskrit', *J A,* CCXXXIII, 1941–2, 116–17, also for what follows.

2 Pāṇini, 1.4.2: *vipratiṣedhe paraṃ kāryam.* This principle is not valid for the *Tripādī* (Pāṇini, 8.2–4): cf. H. E. Buiskool, *Pūrvatrāsiddham,* Amsterdam, 1934.

3 It is irrelevant in the present context that the term *param* in the *sūtra* may mean desirable (*iṣṭam*), as it is interpreted by Patañjali (see Buiskool, op. cit., 66–7, 71–6).

4 *ad loc.*; ed. Kielhorn, I, 304.

5 See L. Renou, *Terminologie grammaticale du sanskrit,* Paris, 1957, 280 (s.v. *vipratiṣedha*).

6 This rule is discussed in another context by the present author in 'A method of linguistic description: the order of consonants according to Pāṇini', *Language* [to be published, 1962].

7 cf. *paribhāṣā* 38 of Nāgojī Bhaṭṭa's *Paribhāṣenduśekhara* ed. and transl. F. Kielhorn, Bombay, 1868, 34, 320; cf. also L. Renou, *Études védiques et pāṇinéennes,* II, Paris, 1956, 143.

8 If *param* means 'desirable', $\phi_i < \phi_j$ can be interpreted to mean that ϕ_j is more desirable than ϕ_i.

1 *ad* Pāṇini, 1.4.2.

2 Renou, *Terminologie,* 495.

3 See Renou, in 'Connexions', *J A,* CCXXXIII, 1941–2, p. 117, n. 2.

4 Although here *param* has a different meaning: see above, p. 55, n. 1.

5 cf. the article quoted above, p. 54, n. 4.

1 *Mīmāṃsā-nyāya-prakāśa,* ed. and transl. F. Edgerton, New Haven, 1921, sections 320–8.

2 *De int.* 12, 21 b 1–8.

3 See J. F. Staal, 'The construction of formal definitions of subject and predicate', *TPS,* 1960, 89–103.

4 See, e.g., Bocheński, *Ancient formal logic,* 37.

5 See, e.g., Bocheński, op. cit., 59.

1 See, e.g., *Mīmāṃsā-nyāya-prakāśa,* section 10.

2 The term *uttarapada* literally denotes the second member of a compound. According to the Sanskrit grammarians the negative particle combines with a following noun into a nominal compound (generally either *tatpuruṣa* or *bahuvrīhi*), so that the following noun is appropriately designated by the term *uttarapada.* Since *paryudāsa* applies also to verbs, *uttarapada* has been here translated by 'next word'.

3 *Mīmāṃsā-nyāya-prakāśa,* section 330.

4 *Mīmāṃsā-nyāya-prakāśa,* sections 332–40.

1 Edgerton, op. cit., p. 170, n. 222.

2 *Mīmāṃsā-nyāya-prakāśa,* sections 341–50. These sentences reflect Vedic sentences where the second object follows the verb but is preceded by *na,* e.g. *Aitareya-Brāhmaṇa,* 1.17.13, *prayājān evātra yajanti nānuyājān* 'in this case they offer the fore-sacrifices, not the after-sacrifices'. See J.

Gonda, *Four studies in the language of the Veda*, 's-Gravenhage, 1959, 7–70 ('Amplified sentences and similar structures', 60).

3 The Mīmāṃsā distinction was also adopted in *dharmaśāstra*. It occurs in a medieval work on *gotra* and *pravara*: see J. Brough, *The early Brahmanical system of Gotra and Pravara: a translation of the Gotra-pravara-mañjarī of Puruṣottama-paṇḍita*, Cambridge, 1953, p. 70, n. 3.

4 cf. Edgerton, op. cit., p. 167, n. 219.

5 Renou, *Durghaṭavṛtti*, 114; also Renou, *J A*, CCXLV, 2, 1957, p. 131, n. 9, and *Terminologie*, 202, 230.

1 cf. the article quoted above, p. 55, n. 6.

1 *Brahmasūtrabhāṣya,* 1.1.3. Ed. Nirṇaya Sāgara, Bombay, 1934, 52–3. Śaṅkara always assumes that no two Vedic utterances are contradictories. See e.g. R. de Smet, 'The theological method of Śaṃkara', *Revue Philosophique de Louvain*, LII, 1954, 31–74, and n. 47.

2 In Mīmāṃsā this is called *ṣoḍaśī-nyāya* 'principle of the *ṣoḍaśin* cup': see, e.g., Garge, op. cit., 265.

3 *na tu vastv evaṃ naivam asti nāstīti vā vikalpyate / vikalpanās tu puruṣabuddhyapekṣāḥ / na vastuyāthātmyajñānaṃ puruṣabuddhyapekṣam / kiṃ tarhi vastutantram eva tat / nahi sthānāv ekasmin sthānur vā puruṣo'nyo veti tattvajñānaṃ bhavati / tatra puruṣo' nyo veti mithyājñānam / sthānur eveti tattvajñānaṃ vastutantratvāt / evaṃ bhūtavastuviṣayāṇāṃ prāmāṇyaṃ vastutantram //*

1 See, for instance, H. Oldenberg, *Die Weltanschauung der Brahmana-Texte*, Göttingen, 1919, 110–23.

2 *Brahmasūtrabhāṣya*, 1.1.4. Ed. Nirṇaya Sāgara, 83; discussed by the present author in *Advaita and neo-Platonism: a critical study in comparative philosophy*, Madras, 1961, 101–2, and cf. 80–1.

3 *dhyānaṃ cintanaṃ yady api mānasaṃ tathāpi puruṣeṇa kartumakartumanyathā vā kartuṃ śakyaṃ puruṣatantratvāt / jñānaṃ tu pramāṇajanyam / pramāṇaṃ ca yathābhūtavastuviṣayam / ato jñānaṃ kartumakartumanyathā vā kartumaśakyaṃ kevalaṃ vastutantram eva tat / na codanātantram / nāpi puruṣatantram //*

4 cf. Renou, *J A*, CCXXXIII, 1941–2, 115: 'le style nominal, représenté de façon rigoureuse par les sūtra grammaticaux et que reprendront les sūtra philosophiques, cède la place, dans le rituel, à un style verbal charactérisé par l'indicatif descriptif, l'optatif prescriptif, l'absolutif d'enchaînement temporel …'.

5 This holds on the *vyāvahārika* level. Śaṅkara's explicit statements are somewhat obscured in O. Lacombe, *L'Absolu selon le Védānta*, Paris, 1937, 124.

6 Brough, who rightly stressed this Mīmāṃsā preoccupation with injunctions, has also drawn attention to the fact that the terms *vidhi* and *pratiṣedha* came to refer to indicative sentences as well: 'although later Indian logic deals largely in indicative sentences, the linguistic thought of philosophers in India was not so strictly confined to indicative propositions as that of logicians in the west. This influence can be traced in the terms *vidhi* and *pratiṣedha*, originally meaning injunction and prohibition, but in later texts occasionally used to apply simply to positive and negative statements' (J. Brough, 'Some Indian theories of meaning', *TPS*, 1953, 162).

1 Ed. F. Kielhorn, I, 5; cf. ed. and transl. K. C. Chatterji, Calcutta, 1957, 34–5.

2 *śabdānuśāsanam idānīṃ kartavyam / tat kathaṃ kartavyam / kiṃ śabdopadeśaḥ kartavyaḥ āhosvid apaśabdopadeśaḥ āhosvid ubhayopadeśaḥ iti / anyataropadeśena kṛtaṃ syāt / tad yathā bhakṣyaniyamenābhakṣyapratiṣedho gamyate / pañca pañcanakhā bhakṣyāḥ ity ukte gamyata etad ato'nye'bhakṣyā iti / abhakṣyapratiṣedhena vā bhakṣyaniyamaḥ / tad yathā abhakṣyo grāmyakukkuṭaḥ abhakṣyo grāmyasūkaraḥ ity ukte gamyata etad āraṇyo bhakṣya iti / evam ihāpi / yadi tāvac chabdopadeśaḥ kriyate gaur ity etasminn upadiṣṭe gamyata etad*

gāvyādayo'paśabda iti / yathāpy apaśabdopadeśaḥ kriyate gāvyādiṣūpadiṣṭeṣu gamyata etad gaur ity eṣa śabda iti //

1 *Mahābhāṣya ad* Pāṇini, 1.1.44, ed. Kielhorn, I, 103; cf. V. G. Paranjpe, *Le vārtika de Kātyāyana*, Paris, 1922, 30–1.

2 Renou, *Terminologie*, 219.

3 A similar quotation (*dvau nañau prakṛtyarthaṃ gamayataḥ*) is found in P. C. Chakravarti, *The linguistic speculations of the Hindus*, Calcutta, 1933, p. 436, n. 3.

4 D. H. H. Ingalls, *Materials for the study of Navya-nyāya logic*, Cambridge, Mass., 1951, 68–72; cf. J. F. Staal, *Indo-Iranian Journal*, IV, 1, 1960, 70–1.

1 B. Delbrück, *Vergleichende Syntax der indogermanischen Sprachen*, Strassburg, I–III, 1893–1900, II, 535–6.

2 See, e.g., O. Jespersen, *The philosophy of grammar*, London, 1948, 331–4.

3 See Ingalls, loc. cit.

4 Delbrück, II, 533.

5 See A. C. Graham, *BSOAS*, XXII, 3, 1959, 567, and *Asia Major*, NS, VII, 1–2, 1959, 88.

6 *Asia Major*, NS, VII, 1–2, 1959, 91, 'One saying that it is an ox, the other that it is not, is "contesting the other's case". Their claims will not both fit'. The first negative particle translates the term negation *fei*, the second the sentence negation *pu*. Cf. also J. F. Staal, *TPS*, 1960, 93.

7 *naño'nuyājaśabdena saṃbandham āśritya paryudāsa āśrīyate, nañanuyājaśabdābhyām anuyājavyatiriktalakṣaṇāt*: *Mīmāṃsā-nyāya-prakāśa*, section 349.

1 Delbrück, II, 524.

2 Delbrück, II, 534.

3 *Kāśikā* to Pāṇini, 2.2.6, and 6.3.73.

4 Pāṇini, 6.3.73.

5 Delbrück, II, 529–33.

6 Delbrück, II, 533.

7 Bocheński, *Ancient formal logic*, 38.

8 *Bṛhadāraṇyakopaniṣat*, 2.3.6, 3.9.26, 4.2.4, 4.23, 5.15.

9 See, e.g., J. Gonda, *Four studies in the language of the Veda*, 's-Gravenhage, 1959, 95–117 ('Why are *ahiṃsā* and similar concepts often expressed in a negative form?'); H. Nakamura, *The ways of thinking of Eastern peoples*, Tokyo, 1960, 23–32.

10 *Nyāyabindu*, ed. T. I. Stcherbatskoy (Bibliotheca Buddhica, VII), Petrograd, 1918, 19; ed. Candraśekhara Śāstrī, Banaras, 1954, 23.

11 See J. F. Staal, 'Contraposition in Indian logic', to be published in *Proceedings* of the 1960 International Congress for Logic, Methodology and Philosophy of Science, Stanford, Calif.

1 *Nyāya-sūtra*, 1.2.6.

2 See, e.g., *Tarka-saṃgraha*, 54, ed. Y. V. Athalye, Poona, 1930, 45–6, 302.

3 D. M. Datta, 'Epistemological methods in Indian philosophy', in C. A. Moore (ed.), *Essays in East-West philosophy*, Honolulu, 1951, 73–88.

4 Udayana, *Nyāya-kusumāñjali*, 3.8, ibid., p. 88, n. 17.

5 See, e.g., J. F. Staal, 'Correlations between language and logic in Indian thought'. *BSOAS*, XXIII, 1, 1960, especially 116–17.

6 Since only the doctrines mentioned are dealt with in this paper, these conclusions do not imply that there are not also other systems where the law of contradiction is denied. Such systems exist

in Buddhism (see, e.g., p. 52, n. 4, above, and A. Kunst, 'The concept of the principle of excluded middle in Buddhism', *Rocznik Orientalistyczny*, XXI, 1957, 141–7) and in Jainism (especially in the opportunist *syādvāda* 'let-it-be doctrine'). In Hinduism such thought appears in particular in the Advaita doctrine of the indeterminability (*anirvacanīyatva*) of the world-illusion, which is specified as *sadasadbhyām anirvacanīya* 'indeterminable either as real or as unreal' (similarly: *sadasadbhyām vilakṣaṇa*). If this is interpreted as ~ (aV ~ a), it violates the law of contradiction. In Advaita the world-illusion is therefore *sarvanyāyavirodhinī* 'opposed to all logic' (*Naiṣkarmyasiddhi*, 3.66). These doctrines have been vehemently criticized in the name of logic and the law of contradiction both by Viśiṣṭādvaitins (see, e.g., S. N. Dasgupta, *A history of Indian philosophy*, III, Cambridge, 1952, 177), and by Dvaitins (see, e.g., Dasgupta, IV, Cambridge, 1955, 204; A. B. Shastri, *Studies in post-Śaṃkara dialectics*, Calcutta, 1936, 180, 195–6). The law of the excluded middle on the other hand seems to be accepted by the Advaitin Toṭaka who maintained that there exists no intermediary between *sat* 'being' and *asat* 'non-being' (see P. Hacker, *Untersuchungen über Texte des frühen Advaitavāda*, Mainz, 1950, 163). Whereas we have seen that Śaṅkara himself uses and accepts the law of contradiction, he can also be seen to argue in accordance with the law of double negation. An example occurs in *Brahmasūtrabhāṣya*, 4.1.3, where the conclusion, that the worshipper is not different from the deity, is drawn from a scriptural statement which opposes the negation of this view, i.e. 'Now if someone worships a deity as other, saying "the deity is one and I am another", he does not know' (*Bṛhadāraṇyakopaniṣat*, 1.4.10). Elsewhere Śaṅkara appears to refer implicitly to the law of contradiction when saying that different Vedānta texts cannot teach different cognitions of Brahman, for it is certain that, if at all they differ, 'only one of them is the right one, the others are erroneous' (*teṣām ekam abhrāntaṃ bhrāntānītarāṇī: Brahmasūtrabhāṣya*, 3.3.1; see J. F. Staal in *Atti del XII Congresso Internazionale di Filosofia*, 1958, X, Firenze, 1960, 227).

Indian Logic Revisited: Nyāyapraveśa Reviewed

Brendan S. Gillon and Martha Lile Love

INTRODUCTION

Indian logic is no better understood now by the modern mind than it was two thousand years ago when it first was taking shape. Today, those who contribute to the growing literature about Indian logic either recapitulate perfunctorily what is said by those who still engage in it, or interpret it gratuitously through concepts commandeered from mathematical logic. A new approach is desperately needed, if we are not to drown in a morass of erudite mathematical symbols and arcane Sanskrit texts.

In this essay, we hope to exhibit a new approach to Indian logic and to provide a rudimentary exposition of it. To do these two things, we have selected for exposition an elementary text taken from one tradition in the literature of Indian logic, the preponderance of which literature was produced by the adherents of Buddhism, Jainism, and Nyāya-Vaiśeṣika. The text which we have selected, the *Nyāyapraveśa,* is a synopsis of Buddhist thinking on logic.

To clarify the approach we have taken in the body of our essay, let us propound the following analogy. A native speaker of a language, as many linguists now assume as an heuristic principle, can enumerate as acceptable an arbitrarily long list of grammatical sentences from his language and as unacceptable another arbitrarily long list of ungrammatical sentences from his language. However, his competence in his language does not, by itself,

guarantee that he can articulate the structure which grammatical sentences of his language have and which ungrammatical ones do not. A linguist who is not a native speaker of this language may try to articulate this structure. Availing himself of his training as a linguist and perusing lists of acceptable and unacceptable sentences of the language as set out by the native speaker, the linguist will articulate, hopefully, what the structure is. If he is successful, he not only will accurately discriminate acceptable from unacceptable sentences enumerated on the lists but also will correctly discriminate as acceptable or unacceptable every subsequent sentence added to the lists by a native speaker. Yet the linguist always runs the risk that a native speaker might add to his list of acceptable sentences a sentence which the linguist's articulation of the language's structure excludes as ungrammatical, or conversely, a native speaker might add to his list of unacceptable sentences a sentence which the linguist's articulation excludes as acceptable.

Now, as we see it, the subject-matter of the *Nyāyapraveśa* is, roughly, argumentation. Argumentation, as circumscribed in this text, has a structure. The author, Śankarasvāmin, sometimes illustrates and sometimes tries to describe this structure. In illustrating it, the author provides us with specimens of instances of proper argumentation (acknowledged as such) and of improper argumentation (also acknowledge as such); just as in listing acceptable sentences as acceptable and unacceptable ones as unacceptable, the native speaker provides the linguist with specimens which exhibit the structure of the language and with specimens which do not. In trying to describe it, the author tries to state what the structure of argumentation is; just as in articulating the structure of a language by which acceptable sentences can be discriminated from unacceptable ones, the linguist tries to provide a grammar of the language.[1] So our task is two-fold: first, to ferret out the structure and then, to ascertain the degree to which Śankarasvāmin has managed to correctly articulate this structure. As a result, this essay falls into three parts: in the first part, we set out the structure; in the second part, we discuss those sections of the *Nyāyapraveśa* which are unclear; and in the

last part, we assess Śankarasvāmin's grasp of the structure of the subject-matter to which he has addressed himself.

In writing this essay, we intend our audience to include Sanskritists and non-Sanskritists alike: we aim this essay both at those who have an interest specifically in the *Nyāyapraveśa* and at those who want to acquire merely a general but representative acquaintance with Indian logic. Thus, for the latter kind of reader, we propound, in the first and third parts of our essay, the scope of the structure with which Śankarasvāmin is trying to come to grips and his understanding of it respectively. We maintain, by the way, though we do not substantiate it here, that this structure is the one which underlies Indian logic, at least as it is expounded in the texts of Buddhism and Nyāyavaiśeṣika. For the former kind of reader, we discuss, in the second part of our essay, those passage of the text either which might seem problematic vis-à-vis our claims in the previous part or which shed light on how Śankarasvāmin understood the structure set out in the previous part. In all these parts, we inevitably resort to some concepts drawn from modern logic. However, logical notation and cant are not used unless they are part of a reformulation of a point already made in plain English; and where they are used, references are made to an appropriate books written to introduce the general reader to the topic.

Documentation for the structure we assert is ensconced in the *Nyāyapraveśa* and documentation for its understanding by Śankarasvāmin is provided at the appropriate places in the essay by notes. In these notes, we furnish references both to an English translation[2] (for those who do not read Sanskrit) and to a Sanskrit edition[3] (for those who do). These references are made through a table which we have organized as follows. First, we have divided the work exhaustively into disjoint passages. Secondly, we have labelled these passages with a decimal notation à la Wittgenstein. This labelling shows clearly how the various passages are related to one another. Furthermore, the table shows which passages are adduced as evidence in the first part of the essay, which are discussed in the second, and which are without import to the task at hand — these last passages are those which

organize the work but which do not add any content to it. The Table forms an Appendix to this article.

I

There are four levels of structure underlying the subject-matter of the *Nyāyapraveśa.* Only for one of them is there a convenient and familiar word; so for the other three we have dredged up two obscure ones and a not-so-obscure but perhaps awkward one. The first level of structure we call "the ontic level." This is the structure embodied in the world of the work.[4] The second level we call by a more familiar term, "the epistemic level." As one might very well guess, it pertains to the structure which is embodied in knowledge of the world by its observers. "The dialectic level" is what we call the third level. This structure defines the limits within which one observer of the world can elicit a belief from another observer of the world.[5] The final level we dub "the forensic level," for the structure here is the rules of a game in which two observers of the world may engage.[6] Since the forensic level presupposes the dialectic level, the dialectic the epistemic, and the epistemic the ontic, we shall begin our exposition with the last and end with the first.

Ontic Level

The world consists of objects and relations. There are two kinds of object, substratum (dharmin) and superstratum (dharma).[7] A superstratum bears at least one relation to a substratum. This relation is not named in the *Nyayāpraveśa*, but it comes to be known in another later tradition of Indian thought, namely Navya-nyāya, as occurrence (vṛtti). This relation obtains if and only if a superstratum is in or on the substratum. In the later tradition just mentioned, this relation of occurrence acquires many forms, the most common of which are contact (saṃyoga) and inherence (samavāya). To see how this relation is applied, suppose that the world includes such objects as pots and tables and that a pot is on a table, then the pot is said to occur on

the table. Here the relation of occurrence is one of contact, for the pot occurs on the table by contact. Again, suppose that the world includes such objects as redness (i.e., the color red) and pots and that a pot is red, then redness occurs in the pot. Here the relation is one of inherence, for redness occurs in the pot by inherence. The converse of the relation of occurrence is the relation of possession. A substratum possesses a superstratum if and only if the superstratum occurs in or on the substratum. Thus, for example, if fire is on a mountain, then the mountain possesses fire; and conversely, if a mountain possesses fire, then fire is on the mountain.[8] Another relation is the relation which a superstratum bears to another superstratum. This relation can be defined in terms of the occurrence-relation. Later, this relation comes to be know as pervasion (vyāpti), but here it is known by its converse, concomitance (anvaya). One superstratum is concomitant with another if and only if in whatever substratum the former occurs the latter occurs. This relation is both reflexive and transitive. That is to say, every superstratum is concomitant with itself; and, if a superstratum is concomitant with another, and the other with a third, then the first is concomitant with the third.

As a result of these relations, the world embodies a structure: If one superstratum, designated by H (hetu-dharma), is concomitant with another superstratum S (sādhya-dharma),[9] and if the former superstratum occurs in a substratum, designated by "p" (pakṣa),[10] then superstratum S occurs in substratum p. This structure[11] can be expressed by the following deduction-schema:

Major Premiss: Whatever has H has S.

Minor Premiss: p has H._____

Conclusion: p has S.

For those familiar with symbolic notation, we can express the same schema in the following way:

Major Premiss: $(\forall x)\,(Hx \rightarrow Sx)$

Minor Premiss: Hp_____

Conclusion: *Sp*

What the deduction-schema provides is a warrant, as it were, that whenever the premisses fit the facts the conclusion is a fact, that is, whenever the premisses are true the conclusion is true.[12] Thus, for example, let us assume that these two claims are factual: whatever has smoke has fire and Mount McKinley has smoke. Then, by virtue of the deduction-schema, it is a fact that Mount McKinley has fire. However, if even one of the premisses is false, the premisses no longer warrant the truth of the conclusion. We should be on our guard not to confuse the notion that the premisses warrant the falsity of the conclusion with the notion that the premisses no longer warrant the truth of the conclusion. When one, or even all, of the premisses of a deduction is false, it is the latter concept which applies, and not the former.

Epistemic Level

Imagine that the world which we have just described has an observer. The observer has a set of beliefs. An observer is said to accept a belief if and only if the belief is a member of the set of beliefs which the observer has. Thus, if an observer has as a set of beliefs that the mountain has fire, that a monkey is in a tree, and that whatever has smoke has fire; then the observer accepts that the mountain has fire, that a monkey is in a tree, and that whatever has smoke has fire.

Beliefs about this world are of two kinds: beliefs about which superstrata are concomitant with which superstrata, and beliefs about which superstrata are in which substrata. Beliefs of the first kind can be expressed in the form "Whatever has superstratum A has superstratum B", or more easily as "Whatever has *A* and *B*", or symbolically as "($\forall$ *x*) (*Ax* $\rightarrow$ *Bx*)". The third belief in the set of beliefs given above as examples has this form. Beliefs of the second kind can be expressed in the form "Substratum *a* has superstratum *C*", or more succinctly as "*a* has *C*", or symbolically as "*Ca*". The first and second beliefs in the example-set above illustrate this form.

Also, if an observer accepts a belief, then he necessarily accepts that the superstrata of the belief exist, if it is a belief of the first kind, or, he necessarily accepts that both the superstratum and the substratum of the belief exist, if it is a belief of the second kind. So, if an observer accepts that whatever has smoke has fire, then he accepts that smoke exists and that fire exists. Similarly, if an observer accepts that a tree has a monkey, then he accepts that the tree exists and that the monkey exists.

An observer may augment the number of beliefs in the set of his beliefs in two ways, by perception (pratyakṣa) and by inference (anumāna).[13] In the first way, if an observer perceives that a substratum, say *a*, has a superstratum, say *C*, then he adds a belief to that effect to his set of beliefs. That is, if an observer perceives that *Ca*, then he accepts that *Ca*. So, an observer accepts that the mountain has smoke when he perceives that the mountain has smoke. In the second way, an observer adds to his set of beliefs a belief wherein what is believed fits the form of the conclusion of the deduction-schema, if an observer picks from his set of beliefs two beliefs wherein what is believed fits the form of the two premisses of the deduction-schema. In other words, if an observer accepts two beliefs which can be expressed in the form of the premisses of the deduction-schema, then he accepts the belief which is expressed in the form of the conclusion of the schema. It follows, then, that the acceptability of the conclusion of an inference depends not only on the logical deducibility of the conclusion from the premisses but also on the acceptability of the premisses.

Dialectic Level

An observer may augment the number of beliefs which another observer has in only one way, namely, by argument (sādhana).[14] An observer augments the number of beliefs another observer has if and only if the former compels the latter to add to his set of beliefs a belief which was previously not a member of his set of beliefs;[15] that is to say, the former causes the latter to

accept a belief which the latter did not previously accept; or, to put it still another way, the former convinces (pratyāyati) the latter of a belief.[16]

For one observer to convince another of a belief, the former must meet four requirements. First, he must find a belief wherein what is believed can be expressed in the form "Superstratum H is in substratum p". Secondly, he must find two beliefs wherein what is believed can be expressed in the form "Wherever superstratum H is superstratum S is" and "Wherever superstratum S is not superstratum H is not". Thirdly, for each of these last two beliefs, he must name a substratum (other than the one designated in the argument being made) which satisfies the universal statement expressing each belief.[17] We may summarize these first three requirements by the following argument-schema:[18]

Major Premiss 1: Whatever has not S has not H.

Example 1:   For example, q.

Major Premiss 2: Whatever has H has S.

Example 2:   For example, r.

Minor Premiss: p has H._____

Conclusion: p has S.

(where "q" names any substratum other than the one named by "p" which has neither superstratum H nor superstratum S; and where "r" names any substratum other than the one named by "p" which has both superstratum H and superstratum S.)

This can be re-expressed symbolically as:

Major Premiss 1: $(\forall x)(\sim Sx \rightarrow \sim Hx)$.

Example 1:   For example, q.

Major Premiss 2: $(\forall x)(Hx \rightarrow Sx)$.

Example 2:   For example, r.

Minor Premiss : Hp._____

Conclusion: Sp.

(where $q \neq p \wedge \sim Hq \wedge \sim Sq$; and where $r \neq p \wedge Hr \wedge Sr$.)

Lastly, it is required that the beliefs and examples which are stated in the argument be established (prasiddha) (siddha) ones. To be established (for an argument) (between two observers) means to be accepted by both observers (at the time of the argument).[19]

Let us note the two major premisses are logically equivalent. That is to say, whenever one is true, the other is true, and whenever one is false, the other is false. Let us also note that if an observer argues correctly for a belief, he *a fortiori* accepts that belief, for in carrying out an argument he carries out an inference (though in carrying out an inference he does not necessarily carry out an argument). Therefore, the convinceability, as it were, of an argument depends on the acceptability of its ensconced inference, which, in turn, depends on the validity of its ensconced deduction. That is, if the deduction is not valid, then the inference is not acceptable; and if the inference is not acceptable, then the argument is not convincing.

Forensic Level[20]

To be eligible to play the game, one must be an observer of the world as described above. Moreover, it is agreed that, during the game, any belief acquired by one player as a result of genuine perception is acquired by the other players also as a result of genuine perception. Thus, if one player genuinely perceives smoke on a mountain, then the other player also will genuinely perceive smoke on that mountain.[21]

Now the game is played in rounds and each round of the game consists in two turns. The player to take the first turn of a round is the proponent in that round; and the player to take the second turn of a round is the opponent in that round. In the first turn, the proponent has an opportunity to compel acceptance of a belief from his opponent. In the second turn, the opponent has an opportunity to demur to the belief argued for by the proponent. Since the only means whereby one observer may augment the number of beliefs which another observer accepts is argument, the first turn of a round comprises the proponent making an argument (Cf. fn. 16), and the second

turn of that round comprises the opponent finding fault with that argument.[22] For any given round, the opponent is compelled to accept the belief argued for by the proponent if and only if the opponent does not find an actual fault with the argument of the proponent.

The player to be the proponent in the next round is the opponent of the current round if and only if the opponent of the current round successfully finds fault with the argument advanced by the proponent of the current round. (Obviously this leaves open the question as to which player is the proponent and which the opponent in the first round.) The game ends when there is a winner. A player becomes a winner when and only when, at the end of some round, he has compelled the other player to accept explicitly inconsistent beliefs while he himself has eschewed accepting explicitly inconsistent beliefs.[23] (It is possible that the beliefs shared by the two players are not sufficient to permit either player to force the other's set of beliefs to be explicitly inconsistent.)

II

We have now seen the structure underlying the subject-matter of the *Nyāyapraveśa.* However, in adducing evidence to support our analysis, we have ignored many passages, most of which are those in which Śankarasvāmin attempts to describe this same structure. To discuss these passages in detail will serve both to clinch our claims concerning what the structure of argumentation here is and to elucidate how Śankarasvāmin conceives it.

Before beginning this discussion, let us first adopt an emendation. This emendation does not affect what we are about to say, but it does throw into greater relief some of the points we make below. We suggest that Sections ∅.2226 and ∅.2231 be emended as follows: all of each passage, except for the terms by which they are named, "Viruddha-avyabhicārin" (i.e., "That which is invariably concomitant with the excluded ones") and "Dharma-svarūpa-viparīta-sādhana" ("That which establishes the opposite of the superstratum

itself"), should be exchanged. We support this emendation on two grounds. First, it renders the supersection ∅.222 a coherent whole insofar as the supersection (under the emendation) corresponds exactly to Dignāga's *Hetucakra-nirṇaya*.[24] Secondly, it yields a better fit between the meaning of the terms and what the terms name; this is especially true of section ∅.2226.

A.

The first section deserving our attention is ∅.223.[25] Here Śaṅkarasvāmin discusses and illustrates four cases of objectionable arguments (sādhana). However, the basis for their being considered objectionable is not obvious. Below we try to make the basis clear.

The first case involves a pair of arguments. As usual, Śaṅkarasvāmin has stated these arguments only in abbreviated form. Let us see them in their unabridged form.[26]

	Major Premiss 1 *S:*	Yat nityam tat a-kṛtakam
	Example 1 *S:*	ākāśa-vat
	Major Premiss 2 *S:*	Yat kṛtakam tat a-nityam
	Example 2 *S:*	ghaṭa-vat
	Minor Premiss *S:*	kṛtakaḥ śabdaḥ_____
	Conclusion *S:*	a-nityaḥ śabdaḥ
Argument 1:	Major Premiss 1 *E:*	Whatever is eternal is non-produced
	Example 1 *E:*	like sky
	Major Premiss 2 *E:*	Whatever is produced is non-eternal
	Example 2 *E:*	like pot
	Minor Premiss *E:*	Sound is produced_____
	Conclusion *E:*	Sound-is non-eternal.
Argument 2:	Major Premiss 1 *S:*	Yat a-nityam tat a-śrāvaṇam
	Example 1 *S:*	
	Major Premiss 2 *S:*	Yat śrāvaṇam tat nityam

Example 2 *S:*   śabda-tva-vat

Minor Premiss *S:*   śrāvaṇaḥ śabdaḥ_____

Conclusion *S:*   nityaḥ śabdaḥ

Major Premiss 1 *E*: Whatever is non-eternal is inaudible

Example 1 *E*:

Major Premiss 2 *E:* Whatever is audible is eternal

Example 2 *E*:   For example, sound-ness

Minor Premiss *E:*   Sound is audible_____

Conclusion *E:*   Sound is eternal

The fact that we are given a pair of arguments sugests that what is wrong with these arguments does not lie in either taken by itself but in both taken together. This suggestion is confirmed when we also recall that Argument 1 is cited by Śankarasvāmin as a paradigm of an inference satisfying the criteria of trirūpa (a notion to be discussed below, pp. 364 ff). What is objectionable is precisely what is not stated. Argument 1 is an argument usually attributed to adherents of Buddhist doctrine; Argument 2 is an argument which is usually attributed to adherents of Vaiśeṣika doctrine.[27] Since Buddhists do not accept that sound-ness (śabda-tva) exists, the second example in Argument 2 fails to convince them; and conversely, since adherents of Vaiśeṣika doctrine do accept that sound is eternal (śabdaḥ nityaḥ), the major premisses of Argument 1 fail to convince them. Thus Śankarasvāmin says:[28]

> Ubhayoḥ samśaya-hetu-tvāt dvau api etau anaikāntikaḥ samuditau eva

> These two arguments are inconclusive only when taken together, since the pair is grounds for doubt [i.e., being unconvinced].

The second case in this section is more straightforward. The argument, as Tachikawa points out,[29] is one put forth by the adherents of Sāṃkhya doctrine, in which the soul (ātman) is held to be simple. If we assume that

this is what the argument is intended to establish, then it fails to do so. The conclusion that the eyes etc. are for the use of another thing is not incompatible with either the belief that the other object is simple or the belief that the other thing is complex. And so, Śankarasvāmin observes:[30]

> Ayam hetuh yathā pārārthyam cakṣuśa-ādīnām sādhayati tathā samhatatvam api parasya ātmanaḥ sādhayati ubhayatra avyābhicārāt.

> To the extent that the grounds establish the eyes, and so forth, to be for the sake of what is other [than the eyes, and so forth], to that extent [they] establish what is other [than the eyes, and so forth], the soul, to be complex; for [the grounds] do not deviate from [i.e., permit] both [conclusions, i.e., that the soul is simple and that the soul is complex].

The last two cases of this section rely on just one example, but that example is the conflation of three arguments. For the sake of clarity, let us spell them out.

Argument 1:	Major Premiss 1 S:	Yat dravyam tat an-eka-dravye
	Example 1 S:	
	Major Premiss 2 S:	Yat-eka-dravye tat na dravyam
	Example 2 S:	Sāmānya-viśeṣa-vat
	Minor Premiss S:	Bhāvaḥ eka-dravye_____
	Conclusion S:	Bhāvaḥ na dravyam.
	Major Premiss 1 E:	Whatever is a substance does not exist in just one substance
	Example 1 E:	
	Major Premiss 2 E:	Whatever exists in just one substance is not a substance

	Example 2 *E:*	For example, lower universals
	Minor Premiss *E:*	Existence exists in just one substance_____
	Conclusion *E:*	Existence is not a substance.
	Major Premiss 1 *S:*	Yaḥ guṇaḥ saḥ na guṇeṣu
	Example 1 *S:*	
	Major Premiss 2 *S:*	Yaḥ guṇeṣu saḥ na guṇaḥ
	Example 2 *S:*	Sāmānya-viśeṣa-vat
	Minor Premiss *S:*	Bhāvaḥ guṇeṣu_____
Argument 2:	Conclusion *S:*	Bhāvaḥ na guṇaḥ.
	Major Premiss 1 *E:*	Whatever is a quality does not exist in qualities
	Example 1 *E:*	
	Major Premiss 2 *E:*	Whatever exists in qualities is not a quality
	Example 2 *E:*	For example, lower universals
	Minor Premiss *E:*	Existence exists in qualities_____
	Conclusion *E:*	Existence is not a quality.
Argument 3:	Major Premiss 1 *S:*	Yat karma tat na karmasu
	Example 1 *S:*	
	Major Premiss 2 *S:*	Yat karmasu tat na karmasu tat na karma
	Example 2 *S:*	Sāmānya-viśeṣa-vat
	Minor Premiss *S:*	Bhāvaḥ karmasu_____

Conclusion *S:*	Bhāvaḥ na karma
Major Premiss 1 *E:*	Whatever is an action does not exist in actions
Example 1 *E:*	
Major Premiss 2 *E:*	Whatever exists in actions is not an action
Example 2 *E:*	For example, lower universals
Minor Premiss *E:*	Existence exists in actions_____
Conclusion *E:*	Existence is not an action.

The problem with these three arguments is that they do not force one to conclude what the proponent of these arguments hopes one to conclude — namely, that existence (bhāva) belongs to a category other than substance (dravya), quality (guṇa), or action (karma) — even if one accepts all three arguments. The reason is this: if one were to add the premise that there are just three categories — namely, substance (dravya), quality (guna), and action (karma) — to the conclusions already reached, then one concludes that existence does not exist. Consequently, Śankarasvāmin observes this about the amalgamation of arguments:

> Ayam hetuḥ yathā dravya-ādi-pratiṣedham bhāvasya sādhayati tathā bhāvasya abhāvatvam api sādhayati ubhayatra avyābhicārāt.

> To the extent that the grounds establish existence to be excluded from substance [, quality, and action], to that extent [they] establish existence not even to exist; for [the grounds] do not deviate from [i.e., permit] both [conclusions, i.e., that existence is excluded from substance, quality, and action and that existence does not exist].

The last case is parasitic upon the case just examined. The adherents of Vaiśeṣika doctrine believe that a substratum (dharmin) is the cause of an observer's idea of a subtratum. In virtue of this belief, they hold that each substratum has the superstratum (dharma) of being the cause of the idea of

that substratum.[31] In light of the foregoing argument, one can arrive at two other purportedly incompatible conclusions. If one concluded above that existence belongs to some category other than substance, quality, or action, then one can conclude that existence is the cause of our idea of existence; if one concluded that existence does not exist, since the only categories there are are substance, quality, and action, then one can conclude, somewhat awkwardly, that existence is the cause of our idea of non-existence.[32] And so Śaṅkarasvāmin adds:

> Ayam eva hetuḥ asmin eva pūrva-pakṣe asya eva dharminaḥ yaḥ viśeṣaḥ satpratyāya-kartṛtvam nāma tat-viparītam asat-pratyāya-kartṛtvam api sādhayati ubhayatra avyābhicārāt.

> Precisely these grounds establish with respect to this very opponent [envisaged in the case above] just this substratum [i.e., existence] is the cause even of the idea of non-existence, which is opposite to the superstratum of being the cause of the idea of non-existence; for [these grounds] do not deviate from [i.e., permit] both [conclusions, i.e. that existence is the cause of the idea of existence and that existence is the cause of the idea of nonexistence].

B.

The next problem to be confronted is the problem of how Śaṅkarasvāmin understands the structure of argument (sādhana). To answer this question, let us review only the descriptive portions of supersection ∅.1, where Śaṅkarasvāmin illustrates and describes the structure of sādhana. Then, let us examine for ambiguity the principal terms he employs therein. Finally, let us look at supersection ∅.222, paying special attention to section ∅.2222 (Cf. Part I).

B1.

Śankarasvāmin describes sādhana (argument) as follows:

∅.1 Sādhana is statements of pakṣa [i.e., conclusion], hetu [i.e., minor premiss], and dṛṣṭānta [i.e., the major premisses and their examples]. By the statements of pakṣa, hetu, and dṛṣṭānta, a state-of-affairs unknown to the questioners is conveyed [to them].

∅.11 Pakṣa is an established substratum [i.e., substratum p] desired by the proponent to be established to qualified by [i.e., to have] an established qualifier [i.e., superstratum S]. It is implicit that it [i.e., pakṣa] is not excluded by perception, inference, tradition, common sense, or its own statement.

∅.12 Hetu [i.e., superstratum H] has three forms: [It] is a superstratum in pakṣa [i.e., substratum p], [it] is in sapakṣa, and [it] is not in vipakṣa.

∅.121 Sapakṣa is any substratum similar [to pakṣa, i.e., substratum p,] insofar as [both it and pakṣa] have the same superstratum to be established [i.e., superstratum S].

∅.122 Vipakṣa is where that which is to be established [i.e., superstratum S] is not.

∅.13 Dṛṣṭānta is two-fold insofar as either [both it and pakṣa] have the same superstratum [i.e., superstratum S] or [both it and pakṣa] do not have the same superstratum [i.e., superstratum S].

∅.131 Dṛṣṭānta insofar as [both it and pakṣa] have the same superstratum is such that hetu [i.e., superstratum H] is said to be in sapakṣa.

∅.132 Dṛṣṭānta insofar as [both it and pakṣa] do not have the same superstratum is such that when there is an absence of that which is to be established [i.e., superstratum S] there is an absence of hetu [i.e., superstratum H].

B2.

From this translation we can isolate the following ambiguities in the terms he uses. The term "pakṣa" denotes: (1) the statement which is a conclusion of

an argument, (2) the state-of-affairs expressed by the conclusion of an argument, and (3) the substratum mentioned in the conclusion of an argument. The term "hetu" denotes: (1) the statement which is the minor premiss of an argument,[33] (2) the superstratum mentioned in the minor premiss of an argument, and (3) an abbreviation for the full formal grounds underlying the conclusion of an argument (sādhana). The term "dṛṣṭānta" abbreviates both "sādharmya-dṛṣṭānta" (i.e., dṛṣṭānta insofar as [both it and pakṣa] have the same superstratum) and "vaidharmya-dṛṣṭānta" (i.e., dṛṣṭānta insofar as [both it and pakṣa] do not have the same superstratum). Each of these terms is in turn ambiguous. Each denotes (1) the statement which expresses the major premiss together with its example, (2) the statement of the major premiss alone, (3) the example given for the major premiss, and (4) the state-of-affairs expressed by the major premiss. Furthermore, "sādharmya-dṛṣṭanta" denotes any substratum such that it is sapakṣa and superstratum H is in it; and "vaidharmya-dṛṣṭānta" denotes any substratum such that it is vipakṣa and superstratum H is not in it. The term "artha" denotes: (1) a state-of-affairs (cf. the second sense of "pakṣa") and (2) a substratum (cf. the third sense of "pakṣa"). Finally, let us note that superstratum S is named sometimes by the expression "sādhya-dharma" (i.e., "that which is to be established"). This expression, sometimes abbreviated as "sādhya", denotes: (1) the statement which is the conclusion of an argument, (2) the state-of-affairs expressed by the conclusion of an argument, and (3) the superstratum mentioned in the conclusion of an argument. (cf. pakṣa.)

B3.

Having delved into the various senses of the principal terms of the passage with which we are now concerned, let us see what corresponds to Śankarasvāmin's description of sādhana to what in our analysis. One correspondence which one might see is one between the deduction-schema and trirūpa (i.e., the three forms mentioned in ∅.12). That is, one might contend this: on the one hand, the criteria provided by trirūpa (cf. ∅.12) give,

for any particular state-of-affairs of a certain kind, the kinds of conditions which must be met for other states-of-affairs to be sufficient to guarantee the existence of the former in virtue of the existence of the latter; while, on the other hand, the criteria implicit in the deduction-schema[34] give, for any particular statement of a certain form, the forms which must be met for other statements to be sufficient to guarantee the truth of the former to follow from the truth of the latter. More specifically, one might contend that the first, second, and third forms of trirūpa stipulate for the world what the minor premiss, major premiss 2, and major premiss 1 stipulate for the statement of deduction. For this correspondence to hold, the second and third forms of trirūpa must be logically equivalent.[35] But the two forms are not logically equivalent, and hence the correspondence does not hold: in particular, what the second form of trirūpa exacts from the world does not correspond to what major premiss 2 exacts from a statement in a deduction.

To show this lack of logical equivalence, we shall first ascertain under just what conditions the major premisses are true or false and then scrutinize what each form of trirūpa asserts. In turning to the first task, let us begin by rehearsing a few concepts from modern logic. First, the major premisses, which we have already stated to be logically equivalent, are themselves logically equivalent to an expression of the form "Nothing which has H does not have S", or symbolically, "$\sim(\exists x)(Hx \wedge \sim Sx)$". Secondly, all possible distributions which two superstrata can have with respect to all substrata can be depicted. To do this, we merely assume that every substratum either has or has not a superstratum (i.e., an ontic version of the Law of Excluded Middle) and that no substratum both has and has not a superstratum (i.e., an ontic version of the Law of Non-contradiction). From these assumptions it follows that there are only nine possible distributions. These distributions are shown in Figure 1, in diagrams which are to be interpreted as follows:
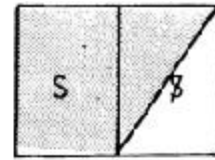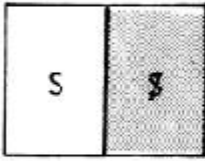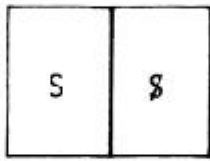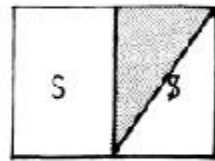
Fig 1
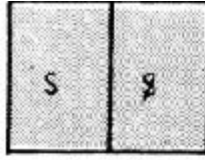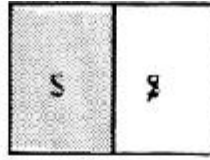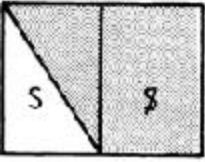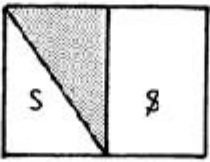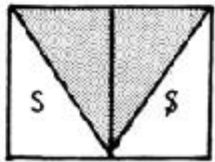
(1)   (2)   (3)

(4)   (5)   (6)

(7)   (8)   (9)

The area of each box corresponds to all the substrata in the world. The area of each half-box marked "*S*" corresponds to all the substrata which have the superstratum *S*. The area of each half-box marked "*$*" correspond to all the substrata which do not have the superstratum *S*. The shaded area in each box corresponds to all the substrata which have the superstratum *H*. And the unshaded area corresponds to all the substrata which lack the superstratum *H*.

Now we ask the question, what distributions depicted in the diagrams does the expression "Nothing which has *H* does not have *S*" (i.e., "~($\exists x$) (*Hx* $\wedge$ ~*Sx*)") fit? Clearly the distributions in diagrams (1), (3), (4), (6), (7), and (9) depict cases wherein there is something which has *H* but does not have *S* (i.e., ($\exists x$) (*Hx* $\wedge$ ~*Sx*)). But this is the contradictory of the expression we are interested in. The expression we are interested in, then, fits the distributions depicted by the complementary set of diagrams, (2), (5), and (8), wherein there is nothing which has *H* and does not have *S* (i.e., ~($\exists x$) (*Hx* $\wedge$ ~*Sx*)).

Having clarified the conditions under which the major premisses are deemed true or false, we must turn to our second task, the scrutiny of what

is asserted in trirūpa. This task requires that we address ourselves to a fundamental problem: the problem of concision of expression in Sanskrit works. Our author is in a trend exhibited in Sanskrit works as increasing over time from the Vedic period wherein, to achieve concision of expression, Sanskrit authors availed themselves of three devices — nominalization,[36] compounding, and ellipsis. The result of the use of these devices is that what would have been explicit is rendered implicit.[37] So, to properly understand trirūpa, we must restore what is implicit to what is explicit by reversing the effect of these devices, that is, by denominalization, parsing compounds, and supplying what has been ellipsed.

To insure that our restoration is as clear as possible, we ask the reader to bear the following in mind. First, each of the three clauses in trirūpa are marked, respectively, by the numerals "1", "2", and "3" each followed by a decimal point. The initial version of each clause is marked by the numeral "1" following the decimal point. Every alteration of a clause is shown in its label by a change in the numeral which follows the decimal point. Secondly, each Sanskrit sentence is paired with a literal English translation. We have tried our best to mirror the pertinent syntactical features of each Sanskrit sentence in its English translation. To this end, we have deviated from two standard practices: Sanskrit compounds, usually transliterated as one orthographic unit, have been broken into their lexical components by the insertion of hyphens between those components; also, Sanskrit compounds, usually translated as English phrases, have been rendered, somewhat factitiously, as English compounds. Finally, restored sentences are not to be thought of as surface sentences (i.e., sentences likely to be found in the Sanskrit corpus) but rather as representations of deeper sentences (i.e., structues underlying sentences actually found in a portion of the Sanskrit corpus). Consequently, they ought not to be expected to obey the constraints of surface grammar (e.g., constraints on Sanskrit word order).

To demonstrate what we mean, we shall begin our restoration with the first form, since it is easily treated in the manner we have in mind.[38] By supplying what has been ellipsed, we obtain:

1.1 *S* [Hetu-dharmasya] pakṣa-dharma-tvam.

1.1 *E* [Superstratum *H* has] pakṣa-superstratum-ness.

Denominalization[39] of this sentence yields:
1.2 *S* [Hetu-dharmaḥ] pakṣa-dharmaḥ asti.
1.2 *E* [Superstratum *H*] is a pakṣa-superstratum.

We parse the compound to obtain:
1.3 *S* [Hetu-dharmaḥ] pakṣe dharmaḥ asti.
1.3 *E* [Superstratum *H]* is a superstratum in pakṣa.

And we simplify as follows:
1.4 *S* [Hetu-dharmaḥ] pakṣe asti.[40]
1.4 *E* [Superstratum *H*] is in pakṣa.

Since the second form is the most difficult, we shall treat the last form next. Again, the first step is to supply what has been ellipsed.
3.1 *S* [Hetu-dharmasya] vipakṣe a-sattvam.
3.1 *E* [Superstratum *H* has] non-existence in vipakṣa.

By denominalizing, we obtain:
3.2 *S* [Hetu-dharmaḥ] vipakṣe na asti[41]
3.2 *E* [Superstratum *H*] is not in vipakṣa.

Because the next step is to replace "vipakṣa," as it occurs in the third form, by its definition, we must now treat the definition of "vipakṣa" in the same manner as we have treated the other sentences. The definition is this:
V1 *S* Vipakṣaḥ yatra sādhyam na asti.
V1 *E* Vipakṣa is where that which is to be established is not.

By supplying what has been ellipsed and by substituting the expression "saḥ arthaḥ yasmin" ("that substratum in which") for the word "yatra" ("where"), we obtain this definition:
V2 *S* Vipakṣaḥ sah arthah yasmin sādhya [-dharmah] na asti.
V2 *E* Vipakṣa is that substratum in which [superstratum] *S* is not.

Now we replace the definiendum (i.e., the part which is defined in a definition), "vipakṣa," as it occurs in the third form of trirūpa, with the definiens (i.e., the defining part of the definition) "sah arthah yasmin sādhya [-dharmah] na asti" ("that substratum in which [superstratum] S is not"), and thereby obtain:

3.3 [Hetu-dharmaḥ] tasmin arthe yasmin sādhya [-dharmaḥ] na asti na
S asti.

3.3 [Superstratum H] is not in that substratum in which [super-stratum] S
E is not.

This result, however, is amphibolous in two ways. First, what the negative particle (the second in the Sanskrit and the first in the English) negates may be either the entire remainder of the sentence, in which case the negative particle is said to have wide scope, or merely the main clause, in which case the negative particle is said to have narrow scope. These two construals are shown below by a pair of sentences which are slight modifications of 3.3 and in which we use corner quotation marks to lay off the scope of each negative particle.

3.31 ⌜[Hetu-dharmah] tasmin arthe asti ⌜yasmin sādhya [-dharmaḥ] na
S asti⌝⌝ [iti] na.

3.31 It is not the case that ⌜[superstratum H] is in that substratum ⌜in which
E [superstratum] S is not⌝⌝.

and

3.32 ⌜[Hetu-dharmah] tasmin arthe na asti⌝ ⌜yasmin sādhya [-dharmaḥ] na
S asti⌝.

3.32 ⌜In that substratum in which [superstratum] S is not⌝⌜ [superstratum
E H] is not⌝.

Secondly, the expression "tasmin arthe yasmin" ("in that substratum in which") may mean only some substratum or every substratum. This compounding of the amphibolies leaves our sentence liable to four

construals. To construe the expression "tasmin arthe yasmin" ("in that substratum in which") either in 3.31 to mean every substratum or in 3.32 to mean some substratum leads, respectively, to the unlikely criteria that in some substratum in which superstratum *H* does not occur superstratum *S* does and that in some substratum neither superstratum *H* nor superstratum *S* occur. In contrast, to construe the expression either in 3.31 to mean some substratum or in 3.32 to mean every substratum leads, in both cases, to the very likely criteria that there is no substratum in which superstratum *H* occurs and superstratum *S* does not and that in every substratum in which superstratum *S* does not occur superstratum *H* does not. Indeed, these latter criteria are logically equivalent.

The question now arises: How are we to choose between these grammatically distinct but logically equivalent construals? This question will be dealt with below. For the moment, we shall assume that 3.31 is the sentence which properly displays the scope of the negative particles and that just some substratum is what is meant by the expression "tasmin arthe yasmin" ("in that substratum in which"). This construal can be displayed in Sanskrit as follows:

3.4 ⌜Tasmin arthe [hetu-dharmaḥ] asti ⌜yasmin sādhya [-dharmaḥ] na
S   asti⌝⌝ [iti] na.

3.4 It is not the case that ⌜[superstratum *H*] is in a substratum ⌜in which
E   [superstratum] *S* is not⌝⌝.

Treating the second form of trirūpa in the same manner as above, we supply first what has been ellipsed.

2.1 *S* [Hetu-dharmasya] sapakṣe sattvam.

2.1 *E* [Superstratum *H* has] existence in sapakṣa.

Then we denominalize the result.

2.2 *S* [Hetu-dharmaḥ] sapakṣe asti.[42]

2.2 *E* [Superstratum *H*] is in sapakṣa.

Now turning to the definition of "sapakṣa," we supply what has been ellipsed there as well.

S1
S   [Tasya pakṣasya ca] sādhya-dharma-sāmānyena [pakṣena] samānaḥ arthaḥ sapakṣaḥ.

S1
E   Through superstratum-*H*-ness [of it and pakṣa], any substratum similar [to pakṣa] is sapakṣa.

This definition is denominalized to yield:

S2
S   [Tasya] sādhya-dharmaḥ [pakṣasya] sādhya-dharmena samānaḥ iti anena [pakṣena] samānaḥ arthaḥ sapakṣaḥ.

S2
E   Insofar as [its] superstratum *S* is the same as [pakṣa's] superstratum *S*, any substratum similar [to pakṣa] is sapakṣa

After reflecting on how the expression "iti anena" ("insofar as") relates the subordinate clause to the main clause, we see that the subordinate clause specifies the respect in which a substratum be similar (samāna) to pakṣa, namely, in the respect that a substratum and pakṣa have the identical (samāna) superstratum.[43] Also, it is reasonable to assume that the word "samāna" ("similar") restricts any two things to be regarded as samāna (i.e., similar, as opposed to identical) to non-identical things. In view of these two considerations, we rewrite S2 as follows:

S3
S   Saḥ arthaḥ yasmin sādhya-dharmaḥ asti yaḥ pakṣāt bhinnaḥ sapakṣaḥ.

S3
E   That substratum in which superstratum *S* is and which is different from pakṣa is sapakṣa.

Substituting for the definiendum "sapakṣa" mentioned in the second form of trirūpa the definiens "sah arthah yasmin sādhya-dharmaḥ asti yah pakṣāt bhinnaḥ" ("that substratum in which superstratum *S* is and which is different from pakṣa"), we obtain:

2.3
S   [Hetu-dharmaḥ] tasmin arthe yasmin sādhya-dharmaḥ asti yaḥ paksāt bhinnaḥ asti.

2.3
[Superstratum *H]* is in that substratum in which superstratum *S* is and

E which is different from pakṣa.

Again we are confronted with the expression "tasmin arthe yasmin" ("in that substratum in which"), and so again we are confronted with the expression's amphiboly. Although in our discussion of 3.3 we choose to understand the expression as meaning just some substratum, nevertheless here we choose to understand it as meaning every substratum. For surely the criterion is not that there be just some substratum different from pakṣa in which superstratum *H* and superstratum *S* occur; and so the criterion must be that superstratum *S* occurs in whatever substratum different from pakṣa superstratum *H* occurs. This construal of 2.3 is put more conspicuously in Sanskrit as follows:

2.4 Yasmin arthe [hetu-dharmaḥ] asti yaḥ pakṣāt bhinnaḥ tasmin sādhya[-
S   dharmaḥ] asti.

2.4 In whatever substratum different from pakṣa [superstratum *H*] is,
E   [superstratum] *S* is.

Now that we have ferreted out the unexpurgated version of the second and third forms of trirūpa, we can see that they are not logically equivalent. After all, for any valid deduction in which the premisses are true, it is true that if substratum *p* does not have superstratum *S* then it does not have superstratum *H*; but it is false that if substratum *p* has superstratum *H* then it both has superstratum *S* and is not identical with itself. Put in terms of symbols, it is false that[44]

$$(\forall x)\,(\backsim Sx \rightarrow \backsim Hx) \equiv (\forall x)\,(Hy \rightarrow (Sy \wedge y \neq p))$$

Only two assumptions underlying this conclusion might be challenged: that the same expression "tasmin arthe yasmin" ("in that substratum in which") is construed differently in 2.3 and 3.3, though 2.3 and 3.3 seem to have the same grammar; and that the definition of sapakṣa is such that what is similar to pakṣa cannot be pakṣa itself. A defense of these two construals not only with render the conclusion we have reached irrefragable but also

will clarify a number of enigmas about trirūpa in general and this text in particular.

To see why the expression "tasmin arthe yasmin" ("in that substratum in which") is construed differently in 2.3 and 3.3, let us compare the two forms, first as described in ∅.12(a) and later as illustrated in ∅.12(b). We recall that by supplying what has been ellipsed and by denominalizing that result, we obtain from "sapakṣe sattvam" ("existence in sapakṣa") and "vipakṣe asattvam" ("non-existence in vipakṣa")

2.2 *S* [Hetu-dharmah] sapakṣe asti.

2.2 *E* [Superstratum *H*] is in sapakṣa.

and

3.2 *S* [Hetu-dharmaḥ] vipakṣe na asti.

3.2 *E* [Superstratum *H]* is not in vipakṣa.

respectively. In illustrating the application of these two forms to an inference, Śankarasvāmin alludes to the following inference, which he regards to be valid and to have true premisses.

Major Premiss 1 *S*: Yat nityam tat a-kṛtakam.

Example 1 *S*:　　Yathā ākāśa-ādi iti.

Major Premiss 2 *S*: Yat kṛtakam tat a-nityam.

Example 2 *S*:　　Yathā ghaṭa-ādi iti.

Minor Premiss *S*:　Śabdaḥ kṛtakaḥ._____

Conclusion *S:*　　Śabdaḥ a-nityaḥ.

Major Premiss 1 *E*: Whatever is eternal is non-produced.

Example 1 *E*:　　For example, sky, etc.

Major Premiss 2 *E*: Whatever is produced is non-eternal.

Example 2 *E:*　　For example, pot, etc.

Minor Premiss *E*:　Sound is produced._____

Conclusion *E:*　　Sound is non-eternal.

With respect to this inference, Śankarasvāmin claims that superstratum H, kṛtaka-tvam (produced-ness) satisfies the criteria of trirūpa; in particular, he claims

2.21 S Kṛtaka-tvam … sapakṣe eva asti.

2.21 E Produced-ness … is only in sapakṣa.

and

3.21 S Kṛtaka-tvam … vipakṣe na asti eva.

3.21 E Produced-ness only … is not in vipakṣa.

We see that besides the overt mention of a particular superstratum, the only difference between 2.2 and 3.2 on the one hand and 2.21 and 3.21 on the other is the mention of the word "eva" ("only") in the latter and its absence in the former.

One use of the particle "eva" ("only"), the one pertinent here, is to indicate a relation between two classes. In particular, it indicates either that one class includes another (i.e., that every member of the latter class is a member of the former) or that one class overlaps another (i.e., that the two classes have a member in common).[45] To see exactly how this works, consider the following sentence-schema for a simple copulative Sanskrit sentence:

$$G_1 - G_2 - \text{copula} -$$

(where "G_1" and "G_2" denote general terms.[46])

Now, as the reader can see, the particle can be placed in three different positions in the sentence-schema and each placement causes a sentence fitting the schema to express a different relation between the class of objects of which G_1 is true and the class of objects of which G_2 is true. In the first position, the particle "eva" ("only") causes the sentence to tell its reader that the class of objects of which G_1 is true includes the class of objects of which G_2 is true. In the second position, it causes the sentence to tell its reader instead that the class of objects of which G_2 is true includes the class of objects of which G_1 is true. And in the third position, it causes the sentence

to tell its reader that the two classes have an object in common. These three configurations of simple copulative Sanskrit sentences and the relations between two classes which they express are summarized below.[47]

$$
\begin{array}{ll}
G_1 \text{ eva } G_2 \text{ copula} & g_2 \subseteq g_1 \\
G_1 \; G_2 \text{ eva copula} & g_1 \subseteq g_2 \\
G_1 \; G_2 \text{ copula eva} & g_1 \cap g_2
\end{array}
$$

(where "G_1" and "G_2" denote general terms and "g_1" and "g_2" denote classes of objects of which G_1 and G_2 are true respectively. "$\subseteq$" means "is included in" and "$\cap$" means "overlaps".)

The use of the particle "eva" on 2.21 and 3.21 can be made clearer by denominalizing each as follows:

2.21* *S* Kṛtakah ... sapakṣaḥ eva.

2.21* *E* Only sapakṣa are ... produced things.

3.21* *S* Kṛtakaḥ ... vipakṣaḥ na asti eva.

3.21* *E* No vipakṣa is ... a produced thing.

In the first case, Śankarasvāmin claims that the class of substrata which are produced (kṛtaka) include the class of substrata which are sapakṣa; that is to say, he claims that whatever is produced (kṛtaka) is sapakṣa. In the second case, Śankarasvāmin claims that the class of substrata which are vipakṣa does not overlap with the class of substrata which are produced (kṛtaka). The explicit indication by the particle "eva" ("only") in the illustration of how the pertinent classes relate corresponds to our construal of the expression "tasmin arthe yasmin" ("in that substratum in which") in 2.3 and 3.3. Śankarasvāmin's illustration, therefore, confirms the construals of 2.3 and 2.4 and of 3.3 as 3.4.

This brings us to the problem of how to interpret the word "samāna" ("similar"). For this, we draw the reader's attention to Śankarasvāmin's formulation of sādharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] have the same superstratum) and vaidharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] do not have the same superstratum), namely,

2.11 *S* Hetoḥ sapakṣe eva asti-tvam.

2.11 *E* Existence of [superstratum] *H* only in sapakṣa.

and

3.11
S Sādhya-abhāve hetoḥ abhāvah eva.

3.11 Whenever there is [superstratum] -*S*-absence, there is absence of
E   [superstratum] *H.*

First, let us denominalize 3.11. To do this, we must avail ourselves of relative pronouns as follows:

3.12 Yasmin arthe sādhya[-dharmaḥ] na asti tasmin hetu[-dharmaḥ] na
S   asti eva.

3.12 [Superstratum] *H* is not in a substratum in which [superstratum] *S* is
E   not.

That the expression "tasmin arthe yasmin" ("in that substratum in which") is to be construed as meaning some substratum is shown by the particle "eva" ("only"); for, as we saw above, the position of this particle in a simple copulative Sanskrit sentence indicates the relation which obtains between the two classes. In this case, it indicates that the class of substrata in which superstratum *S* does not occur and the class of substrata in which superstratum *H* does occur overlap — a state-of-affairs which the negative particle (that last in the Sanskrit and the first in the English) negates. The fact that 3.12 corresponds to 3.4 shows, furthermore, that the set of substrata which satisfy the criterion expressed by the third form of trirūpa is identical with the set any of whose members may be named as a vaidharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] do not have the same superstratum) in its second sense (cf. p. 364 above). Secondly, let us denominalize 2.11.

2.12 *S* Hetoḥ sapakṣe eva asti.

2.12 *E* [Superstratum] *H* is in sapakṣa only.

This differs in generality from 2.21 and in unequivocality from 2.2. Clearly, the class of substrata which satisfy the criterion expressed by the second

form of trirūpa is identical with this class any of whose members may be named as sādharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] have the same superstratum) in its third sense (cf. p. 364).

Now, if pakṣa cannot be its own sādharmya-dṛṣṭānta (in its second sense), as there is every reason to believe, then pakṣa cannot be its own sapakṣa, for the set of substrata circumscribed for each is the same. It is for this reason that Śankarasvāmin defined "vipakṣa" as "yatra sādhyam na asti" ("where [superstratum] S is not") but did not define "sapakṣa" simply as "yatra sādhyam asti" ("where [superstratum] S is"). To preclude pakṣa from satisfying the definition of "sapakṣa," one must construe "samāna" ("similar"), when it is true of two objects, to be true of two different objects: in other words, nothing is similar to itself. Therefore, the fundamental division of substrata is not bipartite between sapakṣa and vipakṣa, which division, though disjoint, is not exhaustive,[48] instead, the fundamental division of substrata is a tripartite one among pakṣa, sapakṣa, and vipakṣa, which division is both exhaustive and disjoint.

The inverse of the erroneous view that the second and third forms of trirūpa are logically equivalent is the equally erroneous view that section ∅.222[49] gives the conditions under which the major premisses of an inference are false. If the inverse view were true, then the subsections of ∅.222 would be assigned as follows to the diagrams adduced above (cf. Figure 1).[50]

∅.2221 (1)

∅.2222 (5)

∅.2223 (7)

∅.2224 (3)

∅.2225 (9)

∅.2226 (4)

∅.2226 (6)

But what is described in passage ∅.2222 does not correspond to what is depicted in diagram (5). Why? because, on the one hand, what diagram (5) depicts is a situation in which none of the substrata have superstratum H but

every substratum either has or has not superstratum *S*; while on the other hand, what is described in passage ∅.2222 is a condition in which only one of the substrata has superstratum *H*, namely pakṣa, while every substratum either has or has not superstratum *S*. In other words, in the diagrams, the substrata of the world are partitioned into disjoint classes, those which have superstratum *S* and those which do not; but, in section ∅.2222, the substrata of the world are partitioned into three disjoint classes, the substratum which is pakṣa, the substrata other than pakṣa which have superstratum *S*, and the substrata other than pakṣa which do not have superstratum *S*.

What evidence is there that this tripartite division underlies passages ∅.2222? The text itself! It states:

> Tat hi nitya-a-nitya-pakṣābhyām [hetoḥ] vyāvṛtta-tvāt nitya-a-nitya-vinirmuktasya ca anyasya a-sambhavāt saṃśaya-hetuḥ.

> There is reason for doubt because [superstratum *H*] is excluded from both pakṣa which is eternal [i.e., sapakṣa of the example] and pakṣa which is not eternal [i.e., vipakṣa of the example] and because what is other [than pakṣa which is eternal and pakṣa which is not eternal] to be different from both what is eternal and what is not eternal is impossible.

What is crucial here is the expression "what is other" ("anya").[51] The expression invites the question: other than what? And the grammar of the sentence gives the answer: other than both pakṣa which is eternal and pakṣa which is not eternal. And the pair of pakṣa referred to here are sapakṣa and vipakṣa respectively.[52] These pakṣa do not include every substratum, for then the expression "what is other" ("anya") would fail to denote any substratum, a result which would render the sentence senseless. But obviously the expression denotes pakṣa.

As a result, we see the following: while sections ∅.2221 and ∅.2223 through ∅.2226 give examples and descriptions of the conditions wherein the major premises of an inference are rendered false, that is, wherein the third form of trirūpa is violated; section ∅.2222 gives an example and

description of the condition wherein no substratum other than pakṣa has both a super-stratum *H* and superstratum *S*, that is, wherein the second form of trirūpa is violated.

III

We are now ready to begin the last part of this paper. Here, as promised at the outset, we shall assess the degree to which Śaṅkarasvāmin has succeeded in articulating the structure to which he had addressed himself in the *Nyāya-praveśa.* In particular, we shall state and show the extent to which Śaṅkarasvāmin has managed, if at all, to distinguish the various level of structure circumscribing his subject-matter.

We contend that Śaṅkarasvāmin failed to distinguish between the dialectic and forensic levels as well as between the ontic and epistemic ones. Moreover, we contend that although he did distinguish the dialectic level from the epistemic one, nonetheless, he failed to distinguish them properly.

Let us demonstrate the second claim first. We remind the reader of the opening lines of the work (i.e., ∅) where Śaṅkarasvāmin states:

> Sādhanam dūsanam ca eva sa-ābhāsam para-samvide; Pratyakṣam anumānam ca saābhāsam tu ātma-samvide.

> Argumentation and refutation together with [their] semblances pertain to another's knowing; perception and inference together with [their] semblances pertain to one's own knowing.

Here we see described by Śaṅkarasvāmin precisely that which separates the epistemic from the dialectic, namely, an observer of the world augmenting his own set of beliefs as opposed to an observer augmenting the set of belief of another observer. However, that he failed to abide fully by this distinction is shown by his definition of inference (anumāna):

> Anumānam liṅgāt artha-darśanam. Lingam punar trirūpam uktam.

Inference is the apprehension of a state-of-affairs through [the apprehension of] a mark. Furthermore, a mark is said to have three forms.

Here, we are told that the conclusion of an inference (anumāna) is determined merely by trirūpa; above, we saw that the conclusion of an argument (sādhana) is determined by more than just trirūpa. Now, if examples are irrelevant to inference, as they are neither discussed nor even alluded to when Śankarasvāmin broaches inference, then trirūpa, whose second condition is stated as a restriction to eliminate arguments in which Major Premiss 2 fails to have an example which must be (other than pakṣa itself) satisfying it, fails to sustain the separation between the dialectic level on the one hand and the epistemic on the other.

How might such a confusion come about? We recall that the definitions of sādharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] have the same superstratum) and vaidharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] do not have the same superstratum) capture the set of substrata from which an example can be drawn for Major Premiss 2 and Major Premiss 1 respectively. We also recall that the term dṛṣṭānta is ambiguous, denoting, among other things, either an example or its major premiss. (Cf. p. 363). It is easy to imagine that one could mistake the description of the set of substrata which are dṛṣṭānta *(qua* example) for the set of substrata which satisfy dṛṣṭānta *(qua* major premiss). In the case of vaidharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] do not have the same superstratum), the error makes no difference; but in the case of sādharmya-dṛṣṭānta (i.e., dṛṣṭānta insofar as [both it and pakṣa] have the same superstratum), the error is crucial.

Our first claim, to which we now return, is itself composed of two other claims, namely, that Śankarasvāmin failed to discern between the dialectic and forensic levels, and that he failed to discern between the ontic and epistemic ones. The former claim is substantiated by the fact that Śankarasvāmin mixes together forensic and dialectic considerations. Specifically, in sections ∅.211 through ∅.215 he cites cases where sādhana

(argumentation) fails because the observer who is undertaking to add beliefs to the set of beliefs of another observer has himself acquired a belief which renders his set inconsistent. (Cf. pp. 355–356.) While the acquisition of this belief accrues to a fact of the dialectic level, the inconsistency resulting from this acquisition is pertinent only to the forensic level. The latter claim is substantiated by the fact that Śankarasvāmin is confused about the ontic structure underlying the epistemic and dialectic structure of his subject-matter. We recall that in those passages where ontic facts bear on dialectic and epistemic ones (namely, $\varnothing.12$ and $\varnothing.222$), Śankarasvāmin has only nine cases in mind. We know from our earlier discussion that a world whose substrata are divided into those having superstratum S and those not having superstratum S can be distributed only in nine ways with respect to occurrences of superstratum H. (Cf. p. 365.) Yet we also know from our previous examination of one passage (namely, $\varnothing.2222$) that Śankarasvāmin has in mind at least one case wherein the occurrences of superstratum H are distributed with respect to substrata, divided into those other than pakṣa having superstratum S, those other than pakṣa not having superstratum S, and pakṣa. (cf. p. 376.) This confusion between a bipartite and tripartite view of substrata of the world shows that the ontic level had yet to come under isolated scrutiny by Śankarasvāmin.

What we see here in the *Nyāyapraveśa* are four levels of structure, well-circumscribed but incompletely understood. This compendium of imperfect knowledge of earlier Indian logicians turns out to be a source of new insight for later Indian logicians. Of special interest is this fact. In Navya-nyāya the attempt to define the relation of pervasion (vyāpti) in terms of a tripartite division of substrata into pakṣa, sapakṣa, and vipakṣa is abandonned; instead later Indian logicians resort directly to superstratum H (hetu-dharma), superstratum S (sādhya-dharma), and substratum (adhikaraṇa). Of course, new problems arise at that point and these will be discussed in a similar study planned for another compendium of logic in India, the *Tarkasamgrahadīpika*.

ACKNOWLEDGMENTS

Notes

* An essay on the *Nyāyapraveśa* was written by me at the University of Toronto during the winter of 1977–1978. Later, when Martha Lile Love and I were engaged in research at Poona University, we developed a framework in which to put the results of our work. To assess the viability of our framework, we searched for a suitable text with which we had some competence. The *Nyāyapraveśa* turned out to be such a text. What began as the revision of my essay became the creation of a new essay. Tragically, before we could complete our final draft, Martha died. Belatedly, I have put the final touches on our manuscript.

1 For those familiar with the jargon, the distinction here is between object-language and observer-language (or, metalanguage): illustrations are specimens of the object-language, the structure of which specimens the author is trying to describe in an observer-language.

2 Tachikawa (tr) (ed) 1971.

3 Dhruva (ed) 1930.

4 Just as "epistemic" characterizes that which pertains to knowledge, as opposed to "epistemological" which characterizes that which pertains to the study of knowledge; so "ontic" characterizes that which pertains to being, as opposed to "ontological" which characterizes that which pertains to the study of being.

5 We are trading on the sense of "dialectic" as it pertains to the Socratic dialogues, where Socrates is depicted as eliciting beliefs from his interlocutors.

6 By the word "forensic," we intend to emphasize the sense of debate: argument for the sake of winning.

7 Where possible we have provided a Sanskrit word from the text, one of the meanings of which corresponds to the key concepts expounded in Part I of the essay.

8 Note this equivalence, as it will be used frequently and tacitly in the exposition to follow.

9 "[Hetu-dharmasya] vipakṣe ... asattvam": "[Superstratum H] is not in vipakṣa [i.e., substrata where superstratum S is not]" (in $\varnothing$.12(a)).

10 "[Hetu-dharmasya] pakṣa-dharmatvam": "[Superstratum H] is a superstratum in pakṣa. [i.e., substratum p]" ($\varnothing$.12(a)).

11 An example of this structure is embedded in the example given in $\varnothing$.1(b).

12 Faris 1962 Chapter 1, Section 2; Faris 1964 Chapter 2, Section 1.

13 "Pratyakṣam anumānam ca sa-ābhāsam tu ātma-samvide": "Perception and inference together with [their] semblances pertain one's knowing" (in ∅). "Atma-pratyāyana-artham tu pratyakṣam anumānam ca dve eva pramane": "Perception and inference, by which one convinces onself [of some fact], are the only two means to knowledge" (in ∅.∅(a)).

14 This point will be discussed below in part II.

15 The substantiation of this claim lies in the author's rejection of arguments wherein the observer who is propounding an argument argues for a belief which the other observer already accepts. Cf. ∅.219.

16 "Esām vacanāni para-pratyāyana-kale sādhanam": "Argument is such statements [uttered] when one is trying to convince another" (in ∅.1(b)).

17 Cf. ∅.131 and ∅.132. Note that p.2311 through ∅.2313 and ∅.2321 through ∅.2323 are examples where this requirement is not met.

18 This is exemplified in ∅.1(b).

19 Cf. ∅.11. Notice that ∅.216 through ∅.218, ∅.2211, ∅.2212, and ∅.2214 are examples where this requirement is not met.

20 That debate has a game-theoretic structure is evident. What the structure is in the case of debate in India is not evident, however. The structure we are ascribing to debate as alluded to in the *Nyāyapraveśa* is speculative, for it is an extrapolation which goes beyond the evidence of the text alone.

21 Cf. ∅.2213.

22 Cf. ∅.7 and ∅.8.

23 Cases adduced by the author to illustrate violations of this restriction are given in sections ∅.211 through ∅.215.

24 Cf. Chatterji, (ed) 1933 p. 269.

25 That is, ∅.223 as emended above.

26 Sanskrit authors rarely state an argument in its full form. In recasting arguments into their full form, we have only supplied what can be recovered from the abbreviated expression of the argument. Omissions of certain lines should not be taken as an error in the argument, but simply as the deletion of inessential information.

27 Tachikawa (tr) 1971 p. 135.

28 Our translation of this passage (∅.2231) differs from that of M. Tachikawa.

29 Tachikawa (tr) 1971 p. 136.

30 Again, our translation of this passage (∅.2232) differs from that of M. Tachikawa.

31 Tachikawa (tr) 1971 p. 138.

32 This argument is so egregiously spurious that we believe it to have been included here merely for the sake of symmetey between the final two cases and the first two cases.

33 Whatever is the pakṣa (in sense 3) is the referent of a genitive pronoun ellipsed in the hetu (in sense 1).

34 That is, the deduction-schema, to be meaningful, must have rules which interpret what the various symbols in it mean. Cf. Fans 1964 Chapter 8, Section 2.

35 In talking about Dharmakīrti's formulation in the *Nyāya-bindu* of trirūpa, which corresponds almost verbatim to Śankarasvāmin's formulation, Staal states: "Thus it was recognized that the second and third conditions are equivalent and that this equivalence constitutes a logical relationship, namely, contraposition" (Staal 1969 p. 636). Cf. Fans 1962 Chapter 3, Section 8.

36 The growth in use of nominalization in Sanskrit literature has been shown in Bloch 1906.

37 The deletion of content through nominalization is discussed in Leech 1974 pp. 185–188.

38 To aid those who are not conversant with Sanskrit to follow what we are arguing for, we have provided quasi-English translations for each Sanskrit sentence.

39 Rules for nominalization, and hence for denominalization, are found in Staal 1965.

40 If one follows the Chinese version of ∅.12(b), as we do, the first part of the Sanskrit sentence (in which Śankarasvāmin illustrates his discussion of ∅.12) would read as follows: "… kṛtakatvam prayatnānantariyakatvam vā pakṣe asti…"

41 Cf. ∅.12(b): "… kṛtakatvam prayatnānantariyakatvam vā … vipakṣe na asti eva."

42 Cf. ∅.12(b):… kṛtakatvam prayatnānantariyakatvam va … sapakṣe eva asti…

43 Note that "samāna" denotes qualitative identity but "samāna" in "sāmānya" denotes numerical identity. Cf. in English: "The automobile accident at this intersection this week is the same as the one here last week" and "The person who drove the car is the same as the one who ran from the scene of the accident." Notice that the word "samāna" in "sāmānya" must mean "identical," otherwise there would have to be another clause to specify a property of the two similar properties in virtue of which the two similar properties are similar.

44 While we agree with Staal's formulation of the two forms of trirūpa into symbols, we do not agree that the two formulae are logically equivalent. That they are not logically equivalent is shown above. The error in Staal's deduction lies on p. 636 (Staal 1960) at the top, where the transformation of the first formula to the second as well as the second to the third is incorrect. The first transformation rests on the false claim that $(x)\,Fx \to (x)\,Gx \vdash (x)\,(Fx \to Gx)$, and the second transformation violates the rule of Universal Generalization.

45 Cf. Suppes 1957 Chapter 9.

46 Cf. Quine 1950 Chapters 14 and 15.

47 The source of this analysis are verses 190–192 in Chapter 4 of Dharmakīrti's *Pramānavarttika*. This passage is discussed in Kajiyama 1973 on pp. 162–167, but the discussion is erroneous in some crucial respects. A more comprehensive review of this use of the particle "eva" as it is expounded by logicians and grammarians will be found in a forthcoming article now under draft by Richard Hayes and me.

48 Two classes are disjoint when they have no members in common; and they are exhaustive when between them they include every member of the domain.

49 In treating this section, we presuppose the emendation made above. Cf. p. 357.

50 The two examples cited in ∅.12(b) correspond to diagrams (2) and (8).

51 Tachikawa (tr) 1971 p. 124. Tachikawa mistranslates it as "anything."

52 This interpretation is corroborated by the Chinese translation, as pointed as in Staal 1971, pp. 165–165.

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Appendix

A table for passages of Nyāyapraveśa.

Ø 2 3 2	vaidharmya	d 6.14	t 127.19	x
Ø 2 3 2 1	sādhya-avyāvṛtta	d 6.17	t 127.28	o
Ø 2 3 2 2	sādhana-avyāvṛtta	d 6.21	t 127.33	o
Ø 2 3 2 3	ubhaya-avyāvṛtta	d 7.2	t 128.1	o
Ø 2 3 2 4	avyatireka	d 7.4	t 128.6	o
Ø 2 3 2 5	viparita-avyatireka	d 7.6	t 128.11	o
Ø 2	sādhana-ābhāsa	d 7.9	t 128.15	x
Ø Ø (a)	pramāna	d 7.11	t 128.18	o
Ø 3	pratyakṣa	d 7.12	t 128.19	/
Ø 4	anumāna	d 7.14	t 128.23	/
Ø Ø (b)	pramāna	d 7.16	t 128.26	o
Ø 5	pratyakṣa.ābhāsa	d 7.18	t 128.31	/
Ø 6	anumāna-ābhāsa	d 7.20	t 129.2	/
Ø 7	dūṣana	d 8.1	t 129.8	o
Ø 8	dūṣana-ābhāsa	d 8.5	t 129.16	o

/ means that the passage has been discussed and translated.

o means that the passage has only been adduced as evidence and not regarded as problematic.

x means that the passage is organizational and has no direct bearin on the content of the work.

? means that we are undecided as to the import of the section.

In columns three and four, 'd' and 't' refer to Dhruva (ed) 1930 and Tachikawa (tr) 1971 respectively; the number before the decimal point refers to the page and the number after it refers to the line of that page.

Some features of the technical language of Navya-Nyāya

Sibajiban Bhattacharyya

I. INTRODUCTION

Navya-Nyāya is not just one school among other schools of Indian philosophy. This is primarily because Navya-Nyāya philosophers developed a technical language which became the language of all serious discourse. This language, developed within the language of realistic Vaiśeṣika ontology, was, however, found to be ontologically neutral, and was used not merely in different philosophies—for example, in Advaita Vedānta by Madhusūdana Sarasvatī, in *Advaita Siddhi*; in Pūrva Mīmāṁsā by Khaṇḍadeva, in *Bhāṭṭa-Rahasya*; in Sāṁkhya and Śākta philosophies by P. Tarkaratna, in *Pūrṇimā* and *Śaktibhāṣya;* and so forth,[1]—but also in grammar, philosophy of language, poetics, law, and other branches of study. We shall have to explain how this language could be so universally used.

In contemporary Western philosophy, the language of symbolic logic has been developed and is used extensively not merely in logic and mathematics, but also in biology and other physical sciences, in grammar (especially the grammar of formal languages), in economics, and only marginally in epistemology, ethics, and law. The discovery and development of the arithmetization of syntax and recursive function theory led to the development of Turing machines and other machine languages, which have been indispensable in computer programming. Thus the thrust and tenor of technical languages developed in the West have been mainly scientific; the

application of the languages to poetics or philosophy has been almost absent. This contrast between the technical language of Navya-Nyāya and symbolic logic points to an important difference between the humanities and the sciences, which we discuss below.

The technical language of Navya-Nyāya is nonsymbolic but rigorous, and is a development of Sanskrit, just as Western syntax and semantics must use living languages like English. It is debatable whether Sanskrit was even a living language, and when Navya-Nyāya developed, it was surely a frozen language. Sanskrit as a frozen language has close affinities with artificially constructed languages as we have them in the West. We must not lose sight of the fact that Sanskrit, from ancient times, had a very rigorous grammar, so much so that Sanskrit grammarians may be regarded as founders of the science of grammar. Sanskrit, as a frozen language, has well-defined and rigorous rules of formation from an alphabet which is phonetically arranged, and the grammatical rules are linearly ordered for scope in Pāṇini's *Aṣṭādhyāyī.* So Navya-Nyāya philosophers took advantage of this feature of Sanskrit in developing their technical language.

Navya-Nyāya language developed so that it could describe structures cognized on various occasions. Thus this language could be used in every sphere where cognition, belief, doubt, and other epistemic and doxastic factors play an essential role. This explains why this language could be used universally in the humanities, where the epistemic factors predominate. In the sciences, however, propositions are stated in total, or nearly total, independence of the knowing subject. Hence Navya-Nyāya language, which is very helpful in the humanities, does not seem to be applicable in the sciences. Although a mastery of the Navya-Nyāya language is considered essential for studying medicine (*āyurveda*), still no work of medicine has used this language. Western logic, on the other hand, developed historically so that it could be applied to mathematics and is oriented basically towards science, and is thus inappropriate for use in the humanities.

The Navya-Nyāya language is not a metalanguage in the sense of being a language about a language. It is a language that has developed so that it can *describe* a cognized structure in terms of the Navya-Nyāya theory. This

is different from ordinary Sanskrit, which is used *to express* cognized structure. Thus the distinction between expressing and describing in the theoretical language of cognized structure is fundamental. Lukasiewicz stated that Aristotle used two types of *expressions* for saying the same thing. For example, 'all A is B' or 'B belongs to all A', and 'B is predicated of all A' are used indiscriminately.[2] Yet these two types of expression are radically different. 'All A is B' and 'B belongs to all A' are *expressions* of cognized structure, but 'B is predicated of all A' is of a different type containing 'predicated of', which is a theoretical term of logic or grammar, and is not an expression of the object language of the earlier expression. In other words, while 'All A is B' expresses a factual situation, 'B is predicated of all A' cannot do so, for the relation 'being predicated of' is not a factual relation, but is a grammatical or epistemic one. Thus this sentence analyzes a fact as cognized, or a statement made according to rules of grammar. This latter interpretation makes it easy to make this sentence a sentence of a metalanguage, of grammar. According to Navya-Nyāya philosophers, 'B is predicated of all A' is a *description* or *analysis*, in terms of a theory (logic or grammar), of what 'All A is B' or 'B belongs to all A' expresses.

Hence they all belong to the same *level* of expression; they are about objects. We shall now explain the Navya-Nyāya theory in terms of which all cognized structures are analyzed and rigorously described.

II. THE NAVYA-NYĀYA THEORY

We will first explain the meaning of 'cognition'.

(1) 'Cognition' is used to denote not merely propositional acts like judging, believing, disbelieving, doubting, assuming, inferring, remembering, perceiving, and introspecting, but also nonpropositional states like sensing, and so forth. In this article, however, we shall not be concerned with cognitions like sensing.

(2) 'Cognition' is always used in the episodic sense to denote an occurrence of an act, but never in the dispositional sense. The term '*saṁskāra*' is

used for 'disposition' in general, physical as well as mental; in the context of cognition, '*saṁskāra*' is used to denote unconscious traces which, when stirred up or activated, produce conscious memory. We shall be dealing with what may be called, very roughly, propositional cognition episodes. These cognitions are called 'qualificative cognitions'.

Qualificative cognitions are cognitions the objects of which are relational complexes of the form *aRb.* We now introduce three epistemic definitions:

Definition 1.

Qualificand of a qualificative cognition: *a* in the cognized structure *aRb* is called '*the qualificand of the cognition*', as well as '*the qualificand of b*'.

Definition 2.

Qualifier (mode) of a qualificative cognition: *b* in the cognized structure *aRb* is called 'the qualifier (mode) of the cognition' as well as 'the qualifier (mode) of *a*'.

Definition 3.

Qualification of a qualificative cognition: *R* in the cognized structure *aRb* is called 'the qualification of the cognition'.

Every qualificative cognition of a structure of the form *aRb* is interpreted in Navya-Nyāya theory as the cognition *of **b**in a by **R**.* Thus 'aRb' is a term, and not a proposition in the usual Western sense. The Navya-Nyāya theory is that every qualificative cognition has to be analyzed as a cognition of something *in* something, of something *possessing* something, of something *as* something, that is, something cognized under the mode of something. In the Western tradition generally, every proposition, including relational propositions of the form *aRb*, is interpreted as *assertions* and is

distinguished radically from a term. In Navya-Nyāya theory, *a*, as well as the structure *aRb*, is regarded as a complex object, and not as a proposition or fact in the sense of the *Tractatus.* We now introduce two *ontological* definitions.

Definition 4.

Property (superstratum): *b* is a *property (superstratum) of a in the relation Rin **aRb**.*

Definition 5.

Property possessor (substratum, locus): *a* is the property possessor (substratum, locus) *of b in the relation **R**in **aRb**.*

In a cognized structure of the form *aRb*, one cognition is related to the three elements by three characteristic relations (diagram 1).

Diagram 1

Cognition of aRb

R_1 R_2 R_3

a R b
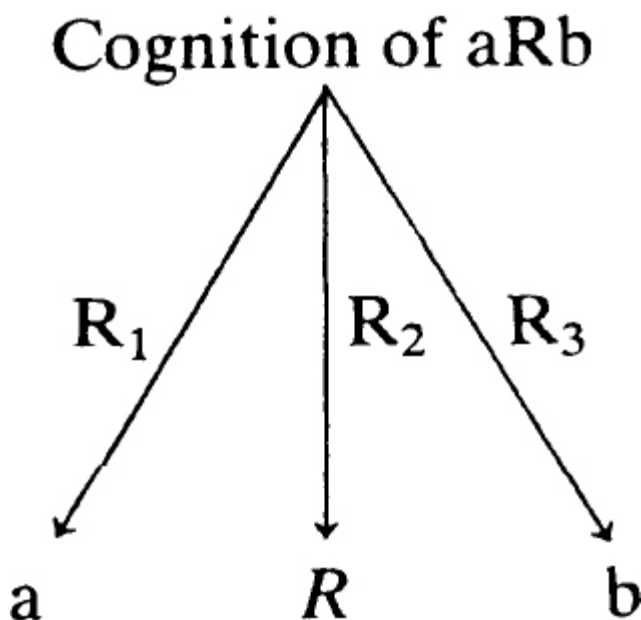
The converse relations, $R^{\smile}_1$, $R^{\smile}_2$, $R^{\smile}_3$, are relations of the objective factors to the cognition.

III. THE NAVYA-NYĀYA TECHNIQUE

Abstraction

Usually in Sanskrit, as in English, abstract terms are formed from given concrete terms, and concrete terms from given abstract terms. Thus, from the concrete terms "wise," "honest," and "man" we have the following abstract terms by adding the appropriate abstraction suffixes, making appropriate grammatical changes in the stem where necessary: "wis-dom," "honest-y", "man-ness." So also with given abstract terms.

But Navya-Nyāya philosophers form abstract and concrete terms from *any* terms. Thus there will be higher-order abstract terms formed from given abstract terms, and similarly higher-order concrete terms from given concrete terms.

The abstraction suffix is '—tva' or its grammatical variant '—tā' (translated as '—ness'), and the concretization suffix is '—vat' or '—mat' (translated as '—possessing'). Abstraction and concretization are inverse processes in the sense that

$$AC\,1. \quad \begin{aligned} &\text{(t-ness) possessing} = t \\ &\text{(t possessing)-ness} = t \end{aligned}$$

where 't' is any term whatsoever, corresponding to the law of symbolic logic:

$$AW\,2. \quad [(\lambda x)Fx]. = F$$

Determiner-Determined

In *aRb, a is* the locus of *b* (definition 5), and therefore *has the property of being the locus* (*locus-ness*) resident in, that is, belonging to, *a.* So also *b* is the superstratum of *a* in the relation R (definition 4), and has the property *being the superstratum* (*superstratum-ness*). To say *a* is the locus *of b* is, in Navya-Nyāya terminology, to say that the locus-ness resident in *a is*

determined by the superstratum-ness resident in *b*. Thus the determiner-determined relation is between properties of two correlatives. In symbols,

$$(\lambda x)xRy \text{ determines (or is determined by)} (\lambda y)Rxy.$$

In thus symbolizing the Navya-Nyāya concept we have to use 'R' in both the abstracts. But in Navya-Nyāya technical language *R* goes with the successor of R, but not with the predecessor.

The structure *aRb*, which is interpreted as *b* in *a* by *R*, is described by S1 in theoretical terms of the Navya-Nyāya system thus:

> S1. *R* is the *limiting relation* of superstratum-ness resident in *b*, which superstratum-ness determines the locus-ness resident in *a*.

We now explain the concepts of limiting properties and limiting relations, that is, of limitors.

IV. THE CONCEPT OF LIMITOR

Navya-Nyāya, in developing its theory of cognition, uses the concept of limiting property and limiting relations almost continuously. In ontology, Navya-Nyāya accepts extensionality of properties, classes, relations, and so on. If two properties belong to, are located in, exactly the same objects, then they are ontologically identical. But this ontological identity cannot ensure the identity of cognized structures. One and the same object may be cognized differently, that is, through different modes of cognition. Now this theory that the same object can be cognized in and through different modes has been challenged by many philosophers. Findlay, for example, argues as follows:

> The same object can be referred to in many ways; we can think of the same city as the birth-place of Mozart or as the city which stands on the site of ancient Juvavum; the difference between the two ideas which we thus form of one and the same object, must lie in the content of those ideas. The weakness of this argument lies in the fact

that it seems fairly clear that there is some difference even in the *objects* of the two ideas; if they concern the same city, they certainly also introduce us to other objects and relations which would suffice to distinguish them. For Mozart and ancient Juvavum are as much objects as the modern city of Salzburg.[3]

The reply to this objection of Findlay is to point out that the two ideas (cognized objects, in Navya-Nyāya terminology) which refer to the same object are ontologically the same, since the identity statement 'the birth-place of Mozart = the city which stands on the site of ancient Juvavum' is a true statement. The truth in Findlay's objection can be expressed in Navya-Nyāya theory of cognition in this way. The cognition of the birthplace of Mozart has the city of Salzburg as its qualificandum, and the property *being the birthplace of Mozart* as its qualifier or mode; the cognition of the city which stands on the site of ancient Juvavum has as its qualificandum the same city, and as its qualifier the property of being the city which stands on the site of ancient Juvavum. Thus both cognitions have the same qualificandum, but they differ in their qualifiers or modes of cognition. Thus, according to Navya-Nyāya, the same object, that is, the same qualificandum, may be cognized through different modes. These modes are properties which belong to objects and are as objective as the objects themselves.

This theory that the same qualificandum may be cognized in and through different modes has a parallel in the theory of *ratio* of the fourteenth-century logician Jean Buridan:

All the same the sense, or as Buridan calls it *ratio*, given us by an object expression really is somehow involved when the verbal is an intentional one; Buridan says the object expression appellat *suam-ratioem* where we may perhaps render the term '*appellat*' (perhaps the most obscurely and multifariously employed of all medieval semantic technicalities) by saying the expression 'calls up' or 'evokes' its own *ratio*. Buridan's main point is in any case clear: that the truth-value of a sentence whose verbal is an intentional one may be changed if we change the *ratio*, the sense, given in the object

expression, even if their expression still relate to the same thing in the world.[4]

Buridan here talks of ratio, that is, of aspects of objects referred to by expressions. Although Navya-Nyāya also formulates a theory of word meaning according to which a word refers to an object only under a specific mode or aspect, still Navya-Nyāya generalizes this distinction between an object and an aspect to all cognitions. The Navya-Nyāya philosophers hold the theory that all cognitions involving language essentially are a special kind of cognition. Neither perception nor even inference as a process of knowing involves any language. When one wants to communicate to others what one has cognized in perception and in inference, one uses language. In these cases, one needs language only in order to communicate one's cognitions or to discuss their truth or falsity or their nature with others. With this modification and generalization, the Navya-Nyāya concept of mode is much wider than Buridan's conception of *ratio.*

The word 'limitor' has been used in Navya-Nyāya in various senses. We shall explain here two most important uses of this important concept. (a) *In the first sense,* the word 'limitor' is used to denote the mode of cognition of an object. Thus, when one cognizes a jar under the mode of jar-ness, jar-ness becomes the limitor of the qualificandum-ness resident in the jar. This simply means that the thing jar has become the qualificandum of the cognition only insofar as it possesses jar-ness, that is, insofar as it is an instance of the universal jar-ness. As Navya-Nyāya philosophers deal with cognitions and as cognitions are transparent to introspection, there can be no doubt about what mode has been manifest in a particular cognition. Thus the limiting property of the qualificandum-ness of any cognition is always infallibly known to the knower.

The difficulty arises when one has to determine the limitor from the verbal expression of the cognition; for example, when one cognizes a particular jar as an instance of the universal jarness, what one says is '(a) jar'. Now the word 'jar' refers to the thing jar under the mode of jar-ness. Thus jar-ness is the mode of presentation of the referent of 'jar', namely,

jars. One may cognize the same thing, namely, the jar, as something containing water. If to express this cognition one uses the word 'the jar', then, of course, the mode of cognition is not the mode of presentation of the referent of the word 'the jar'. For the mode of presentation of the referent of a word is conventionally fixed, whereas a cognition of a thing may have different qualifiers at different times. As the linguistic expression of a cognition does not always give a foolproof method of determining the mode of cognition of its object, Navya-Nyāya has devised a technical language which is adequate to express the limiting properties as well as the limiting relations of cognitions. Thus, when one cognizes a particular jar as containing water, this cognition is described as follows:

> The cognition which has the thing jar as its qualificandum and the property of containing water as its qualifier.

When one cognizes, that is, perceives, a particular brown jar and expresses this cognition by '(a) brown jar', this cognition is described in the technical language of Navya-Nyāya thus:

> *First step.* The cognition the qualificandum of which is the (thing) jar and the qualifier of which is brown color.

But again the (thing) jar has been cognized as a jar, that is, under the mode of jar-ness, and the brown color has been cognized under the mode of brownness. Hence the entire cognition stated in the technical language of Navya-Nyāya becomes:

> *Second step.* The cognition having its qualifier-ness, which is limited by brown-ness and the relation of inherence, and which determines the qualificandum-ness limited by jar-ness.

This simply means that the thing jar has become the qualificandum of the cognition only insofar as it has jar-ness, and the brown color has become its qualifier only insofar as brown-ness *inheres* in it. This may be explained by means of diagram 2.

Diagram 2
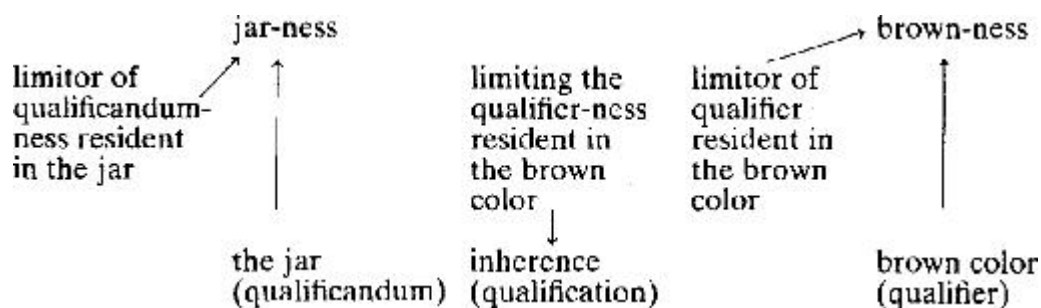
The qualificandum-ness resident in the jar is determined by the qualifier-ness resident in the brown color. This is because the jar is the qualificandum *of* the qualifier, the brown color. The qualifier-ness resident in the brown color = the qualifier-ness limited by brown-ness and inherence. The qualificandum-ness resident in the jar = the qualificandum-ness limited by jar-ness. Hence the entire cognition is the cognition the qualifier-ness of which is limited by brown-ness and inherence and which determines the qualificandum-ness limited by jar-ness.

An important point to be noted here is that although the mode of cognition becomes the limitor, it is a limitor only of a relational property residing or located in the object referred to by the word. Any object becomes the qualificandum or the qualifier of a cognition only under some mode. This mode is the limitor of qualificandum-ness or qualifier-ness, but not of the qualificandum or of the qualifier. So, also, when an object is the cause of another object, the modes under which the cause and the effect are cognized become the limitors, not of the cause and the effect, but of the properties of being the cause (cause-ness) and the property of being the effect (effect-ness). Thus, generally, when any object, *a*, is related to another object, *b*, by a relation *R*, *a* has the property of being the first term of *R* and *b* the property of being the second term of *R*. The modes under which the objects *a* and *b* are cognized become the limitors of *these properties*. Thus we can never have a definiendum like 'xRy' but only something like: 'x cognized under the mode F is related to y cognized under the mode G by the relation *R*'. This explains the function of the limitor. In *aRb, a* has the property being the predecessor (predecessor-ness), and *b* the property of the

successor-ness, of *R*. In *cRb*, *c* has predecessor-ness, and *b* the successor-ness, of *R*. How can one distinguish the predecessor-ness resident in *a* from the predecessor-ness resident in *c*, especially when *R* is the same in both cases? As concrete examples, we may have: this is a mango (this has mango-ness) and that is a mango (that has mango-ness), where *R* is inherence and *b* is the universal mango-ness, which is the same in both cases. The difference in the predecessor-nesses resident in *a* and *c* is due to the *limitors* of the two predecessor-nesses. In the first case, the predecessor-ness is limited by *a*-ness (this-ness), and in the second case it is limited by c-ness (that-ness). Thus the limitors differentiate between predecessor-nesses and successor-ness residing in different objects.

What is limited by the limitors may be of two kinds. The word *avacchinna* (limited, determined) is used not only for a relational abstract which is limited by the mode of cognition of the term related, but also for a "thing's nature which is determined" by the mode of cognition of the thing. "The nature determined" by the mode of cognition is "forma cum subjecto represented by the concrete concept of the thing"; the mode of cognition is "the forma sine subjecto represented by the abstract concept of the thing."[5] For example, water cognized as water, that is, under the mode of water-ness, is said to be limited by water-ness. In 'absence of (a) jar' there is an ambiguity; the meaning may be 'absence of a particular jar' or 'absence of all jars'. This ambiguity is resolved by use of limitors in a different sense, which we shall explain presently. The point is that the sense of limitor as a mode of cognition does not show the quantity of what is cognized.

This sense of 'limitor' as the mode under which an object is cognized so that it can be related to another object does not give us any indication of the quantity of the relational cognition. Thus to say 'cognized under the mode of fire-ness', that is, 'limited by fire-ness' (*vahnitvā 'vacchinna*), does not give us any indication whether the object cognized is just one particular fire or all fires. Here an adjective of quantity like 'all' has to be added. Thus, for example, Jagadīśa writes "*vahnitvâvacchinnasya sarvasyaiva*."[6] The addition of '*sarva*' ('all') here is lost in Guha's interpretation.[7] Viśvanātha also writes "*pratiyogitâ 'vacchedakâ 'vacchinnasya yasya kasyacit pratiyogino*

'nâdhikaraṇatvaṁ, tatsāmānyasyā va. ..."[8] The question of the opponent which Viśvanātha is explaining here concerns the ambiguity of the expression 'counter-positive limited by the limitor of the counterpositiveness'. Does it mean just *some* such counterpositive entity—or all?[9]

Now there is a second sense of 'limitor', in which it is used to indicate quantity of cognition. There are two types of reasons, ontological and epistemic, for admitting limitors of relational properties over and above the relational properties themselves. It is only the epistemic reason which explains here how the concept of limitor is used to show quantification. In this respect, the Navya-Nyāya theory of limitors is fundamentally different from Buridan's theory of *ratio.* Now we explain the two types of reasons, ontological and epistemic, for admitting limitors of counterpositive-ness.[10] These reasons may be used *mutatis mutandis* in other cases of relational properties.

Ontological Reasons

The sentence or the proposition 'the chair is on the floor' is contradicted by 'the chair is not on the floor'. This relation of contradiction between the two propositions or sentences is, according to Navya-Nyāya, grounded in or based on a relation of incompatibility between two entities, the chair and the absence of the chair. According to Navya-Nyāya, a cognition of the form '*a* is not *b*', or '*a* is not in *b*', is a cognition of negation of *b* in *a*. Now to say that *b* is absent from *a* requires that we specify what it is for *b* to be present, certainly not in *a*, but in some other object, say *c*; unless it is specified what it is for *b* to be present, we cannot say what it is for *b* to be absent. Now to be present *b* has to be related by a specific relation to *c*. To say that *b* is not present in *a* will necessarily involve the relation in which *a* is present in *c*; *b* is not present in *a* in the way that it is present in *c*. This relation is the limiting relation of the counterpositive-ness resident in *b* and in determining the locus-ness resident in *a*. If we do not include this specific relation in

which *b* is said to be present in *c* in this case, then there cannot be any incompatibility between presence and absence of *b* and no contradiction between the corresponding propositions. For example, the two propositions 'the chair is on the floor' and 'the chair is not on the floor' will not be contradictory to each other if 'being on the floor' in the two propositions is understood differently. Even though the chair is in contact with the floor, still the chair will not be related to the floor by the relation in which the chair is related to its parts. The chair inheres in its parts but cannot inhere in the floor because the floor is not a part of the chair. So both the propositions 'the chair is on the floor' (by contact) and 'the chair is not on the floor' (say, by inherence) will both be true and hence not contradictory. Navya-Nyāya, therefore, postulates that whenever a cognition of negation is considered, it is necessary to take into consideration this specific relation by which the counterpositive is to be present somewhere.

The ontological reason for admitting a limiting property of the counterpositive-ness resident in the counterpositive of a negation is this: Consider the proposition 'there is a substance'. If we do not specify here the mode under which a substance is to be cognized, the two propositions 'there is a jar on the ground' and 'there is no chair on the ground' will not be contradictory even though both jars and chairs are substances. It may be suggested here that this difficulty may be avoided by stipulating that what is said to be present on the ground must be the the same as that which is said to be absent there. But this answer without bringing in the concept of the limiting property of counterpositive-ness—that is, the concept of the mode under which the counterpositive of a negation is cognized—is inadequate from the Nyāya point of view. This is because, in ontology, Navya-Nyāya accepts the principle that an entity qualified by some other entity is ontologically identical with the unqualified entity. For example, existence (*sattā*) inheres in three categories: substance, quality, and motion. Now this existence qualified by exclusion from quality and motion is ontologically the same as existence pure and simple. Yet existence qualified by exclusion from quality and motion is not present in quality and motion where existence is present. Thus quality and motion are the loci of both existence and absence

of existence. This violates the rule of incompatibility between an object and its negation. The rule is that where the object is present it cannot be also absent, and vice versa. Existence which is not present in quality and motion is existence qualified by exclusion from quality and motion. But because the qualified existence is ontologically the same as unqualified existence, that is, existence pure and simple, existence and nonexistence cease to be incompatible. It is, therefore, necessary to introduce the concept of limitor of counterpositive-ness, which is the mode under which the counterpositive of a negation is cognized[11] and which is, therefore, an epistemic concept. Thus even though qualified and unqualified existence be ontologically identical, still, in cognition, they are cognized differently through different modes of cognition. Thus, in order to ensure the relation of incompatibility between an object and its negation, the notion of the limiting property of counterpositive-ness is necessary.

Epistemological Reasons

According to Navya-Nyāya, a cognition of an object blocks or prevents the cognition of its absence under certain conditions. Now this blocking of one cognition by another is possible only when the limiting relation of counterpositive-ness resident in the counterpositive and the limiting property are essentially involved in the cognitions. Just as without these limitors there is no incompatibility between an object and its negation, so also without these limitors there will be no blocking of one cognition by another.

Now we explain how the concept of limitor is used in Navya-Nyāya to specify the quantity—universality or particularity—of cognitions. For this purpose the word 'limitor' is used in an altogether new sense. This sense is that the limiting property is coextensive with the relational property that is limited by it.[12] For example, in the negation of a jar, if the counterpositiveness resident in the jar is limited by jar-ness than it will be the negation of jar-in-general or negation of all jars. But if the

counterpositive-ness is limited by (this-jar)-ness, then the negation will be the negation of this jar, that is, negation of a particular jar. As the limiting property and the relational property that is limited by it are coextensive, wherever the limiting property is present the limited property also is present and vice versa. So also in other cases of the limitor—limitor of probans-ness or probandumness, or qualificandum-ness, qualifier-ness, and so on.

Using limitors to indicate the quantity of a cognized structure (according to Western logic, the proposition) differentiates the Indian logic of quantification from Western logic in a fundamental way. In Aristotelian logic, as also in modern symbolic logic, propositions or sentences are classified into four different *forms*—A, E, I, O—by quantity and quality. Universal propositions in Western logic are those which are quantified by the use of words like 'all', 'every', 'any', 'no', and so on. The quality, especially negative quality, is indicated by using words like 'no', 'not', or 'never', and so on. Now according to Navya-Nyāya, anything indicated by words occurring in a sentence will enter into its *content* and cannot belong *to* its *form.* That is why, according to Navya-Nyāya, the so-called quality of a proposition or a sentence which has to be indicated by the presence or absence of a negative particle cannot be a matter of form. So also if quantity in sentences is indicated by using words like 'all', 'some', and so on, then quantity will also be included in the content of the meaning of the sentences but cannot belong to their form. Accordingly, Navya-Nyāya, which deals with cognitions, rather than with propositions or sentences, sees a fundamental difference between the quantity and the quality of the content cognized. The quantity, like universality, particularity, cannot be expressed by any word occurring in a sentence which expresses the cognition, or rather the object of the cognition. Words occurring in such sentences refer to objects and are cognized as referents. But according to Navya-Nyāya, a word can refer to an object only if the object is presented under a specific mode, which must be a property belonging to the object and is the reason for the application of the word to the object. This mode of presentation, although meant by the word, is never its referent; it is the qualifier of the qualificative cognition which one has on hearing a word. The referent is the

qualificandum of the qualificative cognition resulting from hearing the word, and the mode of presentation of the referent of the word is the qualifier. This mode, under which falls the referent of a word, is called the limitor of being referent of the word. Now this limitor is coextensive with the property of being referred to by the word. Whatever is referred to by the word has this property, and whatever has this property is a referent of the word. Thus, the concept of limiting property in the sense of a coextensive property of what is limited reveals or manifests the quantity of the structure cognized.

It is to be noted here that a limiting property or relation in this sense is not to be identified with what gets manifested in cognition. This is because even a property which is not a mode of a cognition can become a limitor in that cognition. A heavier property, even though it is manifested as a mode, cannot be a limitor if there is a lighter property coextensive with it. When a person hears a sentence uttered by a speaker, he, unlike the speaker himself, is not certain about the limitor. It is for this reason, that is, to avoid the uncertainty and vagueness in ordinary language where adjective of quantity is not used, that Navya-Nyāya has developed a technical language using 'limiting property', 'limiting relation', 'determiner', 'determined', and so on to make explicit that which was not explicit in the sentence. Thus, Navya-Nyāya language is not a metalanguage in the sense of being a language about another language, the object language. The technical language is a device to state explicitly what has been left unsaid in the ordinary sentence.

In Western logic, a universal sentence is analyzed into a propositional function containing at least one free variable, which becomes bound by the quantifier. The quantifier in such logics performs three different functions: binding, abstracting, and quantifying. The operation of binding a variable is merely to delete or cancel it from the expression. Thus we have the equivalence:

$$(\lambda x)Fx = F.$$

The binding of a variable thus results in abstraction in the sense that the propositional function yields a property. The third function, namely, that of

quantifying a propositional function, is really to say something about the property. A universal quantifier says that the property is universal; an existential quantifier says that the property is satisfiable. Thus combinatory logic, which uses functions as arguments of functions, dispenses with the use of variables. Quantification, therefore, involves a higher level of thought.

In Navya-Nyāya, quantification is a matter of a way of cognizing objects. To cognize the object in one way, that is, where the limiting property is general, is to cognize the object universally. When the limiting property is a special property, the cognized structure is particular. We shall first explain here the meaning of 'all' and 'a' in Navya-Nyāya, and then show why universality and particularity cannot be indicated by these words.

Meaning of 'All'

'All' may be used as an adjective of the subject expression or of the predicate expression, which must be a count noun. "All objects are knowable," and "Time has all properties" are the examples of the respective cases.

The first case.

The referent of 'all' is that which is without remainder. But this requires explanation of 'being without remainder'. The subject is cognized as having the predicate totally in such a case. This simply means that everything which is cognized under the mode of the subject term possesses the property referred to by the predicate term. (The predicate has to be distinguished from the predicate expression. The normal form of an expression of a cognition in Navya-Nyāya is *a* as *b*-possessing. The predicate expression is '*b*-possessing', but the predicate is *b*, not '*b*'. Thus the sentence 'Socrates is wise' has to be transformed into 'Socrates as wisdom-possessing' where the predicate expression is 'wisdom-possessing' but the predicate is wisdom.)

Gadādhara explains the meaning of 'all' as an adjective of the subject (the referent of a count noun) in the following way. According to him the referent of 'all' as an adjective of the subject is whatever is cognized under the mode of many-ness (a number), which pervades the mode of presentation of the referents of the subject term and is pervaded by the predicate. In the sentence 'all substances are knowable', the subject is substances and the mode of their presentation by the word 'substance' is substancehood. This means that all substances are the referents of the term 'substance' merely *as substances*, that is, as instances of the universal substancehood. The word 'all' here means whatever possesses such a number which pervades substancehood, which is the mode of presentation of the referents of the subject term. Substancehood is present in all individual substances; therefore the number or plurality may be present in more objects, that is, other than substances, but it must be present at least in all substances in order that the plurality be the pervader of substancehood. Now this plurality, which is a number, has to be pervaded by knowability, which is the predicate in the sentence. This means that every locus of this plurality must also be a locus of knowability. Thus, the sentence 'all substances are knowable' means that wherever there is substancehood there is knowability. (Gadādhara's interpretation of 'all' as an adjective of the subject term in terms of the relation of pervasion between three properties amounts really to transforming a universal sentence into a conditional one. This is because of the Nyāya interpretation of pervasion as a relation which is not a *necessary* relation. To say that *a* pervades *b* is to say that whatever possesses *b*-ness possesses *a*-ness, not that whatever possesses *b*-ness *must* possess a-ness).

To say that all substances are knowable is not to say that there are no objects other than substances which do not have knowability. The use of 'all' does not preclude the possibility of the predicate belonging to things other than the referents of the subject term. What is precluded is that the predicate may not belong to all the referents of the subject term. This possibility is precluded by the stipulation that the plurality which is the mode of presentation of the referents of 'all' must be pervaded by the predicate.

If the condition, that the plurality or many-ness which is the mode of presentation of the referent of 'all', is not pervaded by the predicate, then the predicate will not be present in all objects which are the subject of the sentence. For example, we cannot say correctly that all jars are blue, for the plurality which qualifies jars is not pervaded by the color blue; wherever jarness is present, the plurality is present, but wherever this plurality is present, blue color is not present. So we can only say that some jars are blue.

If the condition, that the many-ness which is the mode of presentation of referents of 'all' be the pervader of the mode of presentation of the subject, is not given, then, too, the use of 'all' will be unjustified. In the sentence 'all jars possess blue color', the blue color is the predicate; if the many-ness is pervaded by this predicate, then wherever this many-ness is present, blue color will be present, and all and only blue jars will be the loci of this many-ness. But this cannot be the meaning of 'all jars are blue'. Hence the further condition, that the many-ness which is the mode of presentation of the referents of 'all' has to pervade the mode of presentation of the subject, is necessary.

We may represent this interpretation of 'all' in [diagram 3](#).

Diagram 3
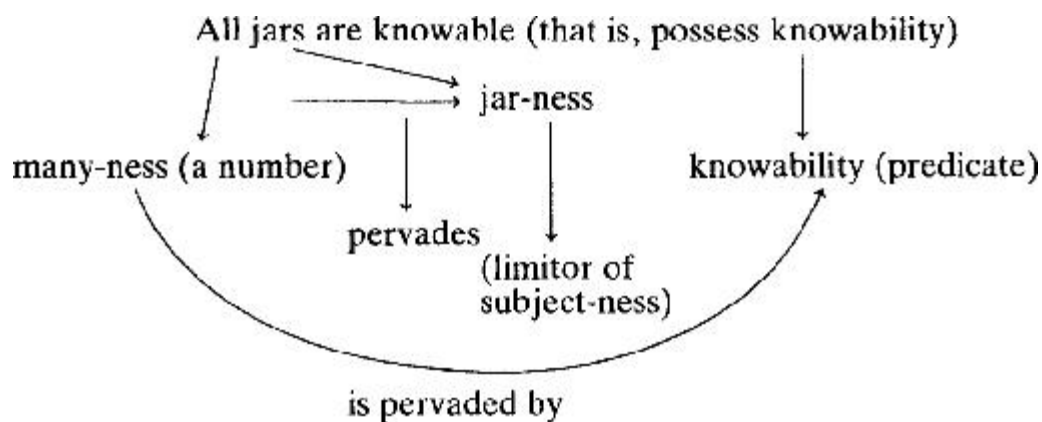
This means that wherever jar-ness is located the number is located, and wherever the number is located knowability is located.

It should be noted here that the referent of 'all' being defined in terms of pervasion, pervasion itself cannot be explained in terms of 'all'. In Western logic, where the universal or the existential quantifier is regarded as basic,

pervasion can be defined in terms of the universal quantifier thus:Definition of pervasion:

$$s \text{ pervades } h = (x)(xR_1h \supset xR_2s).$$

But according to Navya-Nyāya philosophers, it is in terms of the relation of pervasion by which the meaning of 'all' is to be defined.

The second case.

In the case of 'all' being an adjective of the predicate expression, its referents will be whatever has plurality (many-ness), pervading the mode of the predicate and being pervaded by the relevant relation to the subject. In the sentence 'time possesses all properties', the predicate is *property*, and its mode is *being a property.* A property is something that *is in* another object. Being such a property is pervaded by the plurality belonging to all properties. This plurality is also present in all properties in which the mode of the predicate (being a property) is present; so the plurality pervades the mode of the predicate. Again, all properties are in time and hence are related to time. So all individual properties are such that the plurality (of all properties) is present in them, and *being a* property is also present in them, and *being related to time* is also present in them. Hence all the conditions of determining the referent of 'all' are satisfied in this case. Diagram 4 will make the meaning clear.

Diagram 4
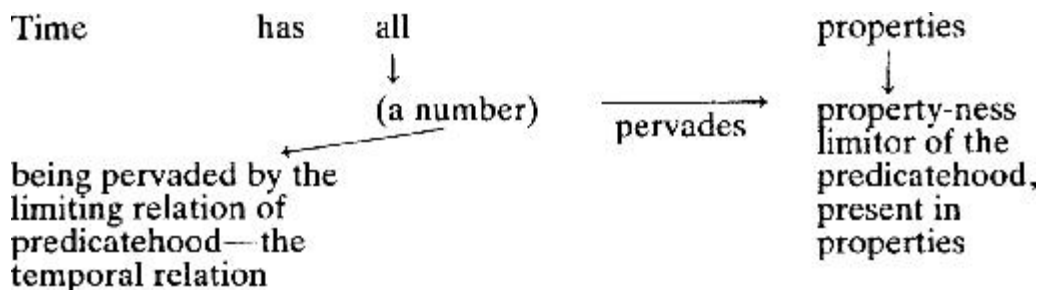
Wherever property-ness is located (that is, whatever is a property) the number is located. Whatever the number is located in is *in time* (that is, is

related to the substance which is time by the temporal relation). From this it follows that whatever is a property is in time. According to Gadādhara, this is the meaning of 'Time has all properties'.

Meaning of 'One'

If it is said that the meaning of 'one' is whatever possesses one-ness, then it will be quite proper to say that one man is present in the room when there are many others in the room. For each individual person will be one person, but according to Navya-Nyāya, this will be a false statement in this circumstance. In Sanskrit idiom, 'one' means 'one and only one'. The meaning of 'one' in this sense is explained by Gadādhara in the following way. If 'one' is an adjective of the subject expression, then it refers to whatever possesses one-ness, which is not the counterpositive of difference present in the referent of the subject expression, which is qualified by the predicate. If there are two persons, A and B, in the room, then A has one-ness, but A as well as B is qualified by the predicate (being in the room), and A is different from B; the one-ness of A *is the counterpositive of* difference from B, who is also a referent of the subject expression "B" and is in the room. So we cannot say about A that one man is in the room.

So also in the case of 'one' as an adjective of the predicate expression. 'One' in such a sentence will refer to whatever has one-ness, which is not a counterpositive of difference present in the predicate, which is related to whatever has the predicate as its property. In the case of two-eyed persons, we cannot say that they have one eye, for the one-ness as qualifying the predicate, eyes, say, A and B, cannot be said to belong to A, or to B, alone. For such a one-ness in A is counterpositive of difference from B, which is the other eye, related to (belonging to) such persons.

It becomes clear now why Navya-Nyāya cannot use 'all' to indicate quantity of cognitions. For to understand the meaning of all, it is necessary to use the cognition of pervasion, which, therefore, cannot be indicated by 'all'. But the concept *pervasion* itself involves universality, so universality

has to be understood independently of the use of 'all'. This, as has been explained above, is done by using the concept of limitor in the second sense.

V. USE OF LIMITORS IN THE NAVYA-NYĀYA DEFINITION OF PERVASION

Navya-Nyāya uses limiting properties and limiting relations almost constantly, especially in definitions. Limitors are mainly used for two purposes, both of which are connected with the notion of a mode of presentation of an object in a cognition. One such use is to explain why objects which are ontologically identical cannot be used interchangeably in a cognitive context like an inference. The other use is to determine the quantity, universality, or otherwise of the objects of cognition by their mode of presentation in cognition. I shall now explain these two uses of limitors by examining a definition of pervasion as given in Viśvanātha.[13]

Pervasion is such a relation between the pervader and the pervaded that the pervaded becomes an unfailing mark of the pervader. This is possible if and only if the pervaded (h) does not occur where the pervader (s) does not occur. This may be analyzed differently in terms of different types of negation admitted in Navya-Nyāya. The definition of pervasion that we shall discuss here is in terms of absence and difference. Initially it may be stated thus:

(1)

Pervasion of h by s = the absence of h from what is different from a locus of s (the mark (h) must not occur where s does not occur).

This initial statement is then further analyzed as

(2)

Pervasion of h by s = negation of occurrence of h determined by what possesses difference the counterpositive of which is a locus of s.

That this definition is correct is shown by applying it to an example. Smoke is pervaded by fire, invariably goes with fire, and is, therefore, an unfailing mark of fire. Now smoke does not occur where fire does not occur. The locus where fire does not occur is necessarily different from the locus where fire occurs.

S If x is different from y, then x has difference from y.

This is stated in Navya-Nyāya terminology as:

SN x has difference the counterpositive of which is y.

This is because of the definition:

DD1 x is different from y − y is counterpositive of difference resident in x; or,
x has difference the counterpositive of which is y.

This definition of pervasion seems to be correct as it does not apply to the case which is not a case of pervasion. If someone infers that there is smoke, because there is fire, the smoke (s) becomes the pervader, and fire the pervaded (h). This is not a case of pervasion, for there is at least one instance where fire is present but smoke is not (say, a red-hot iron ball). The definition of pervasion, too, is not applicable to this wrong case.

But the definition as it stands is not adequate. The first insertion here is that in understanding a locus of s in 'different from a locus of s' in (1), we have to take that relation which is the limiting relation of *s-ness* in the inference. Why this is necessary is explained as follows.

Smoke is really pervaded by fire; hence the definition of pervasion ought to apply to this case. But if the relation in which locus *of s* is to be taken is not specified, then the definition will fail to apply to this case and will be too narrow. Without this identification of the limiting relation of s-ness with the relation in which s is to be located in the locus, by 'locus of fire' we may understand its particles, for fire is located in its particles by inherence. The kitchen, for example, becomes different from this locus of s, but smoke is present there. Hence the definition of pervasion does not apply here.

The defect is remedied by the said identification of the two relations. When one infers fire on a hill, one infers that fire occurs on the hill in the

relation of contact, not inherence. Hence, when one understands 'locus of fire', one must understand an object where fire occurs by the relation of contact. This may be explained by <u>diagram 5</u>.

Diagram 5

INFERENCE
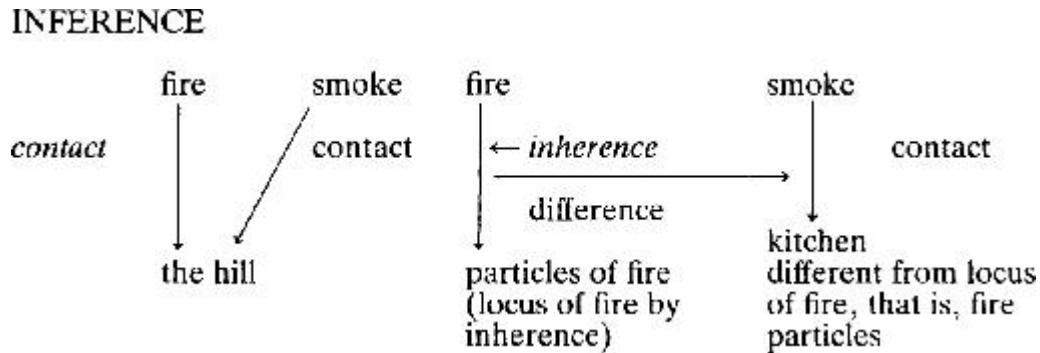
The difficulty is therefore resolved by stipulating that the relation of fire to its locus must be identical in both the cases. Since in <u>diagram 5</u> the two relations are not the same, this case does not show that the definition of pervasion is too narrow.

The next insertion is of a limiting property having the function of a universal quantifier. The h must not be present where s is not present. This means that h must not be present in *any* locus where s is absent. This again means that the h must not be present in a locus which is different from each and every locus of s. This point may be explained by <u>diagram 6</u>.

Diagram 6
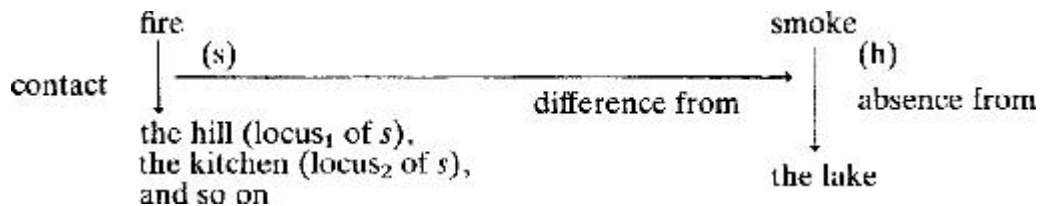
This means, in the Navya-Nyāya terminology, that the counterpositive of difference must be *all loci* of s. This is achieved in Navya-Nyāya terminology by saying that the counterpositive-ness resident in the counterpositive must be limited by mere locus-ness of s; that is, the counterpositive of difference has to be cognized under the mode of *being just a locus of s*. The necessity of

this insertion is proved negatively by showing what would follow if it is not made (diagram 7).

Diagram 7

Diagram 7
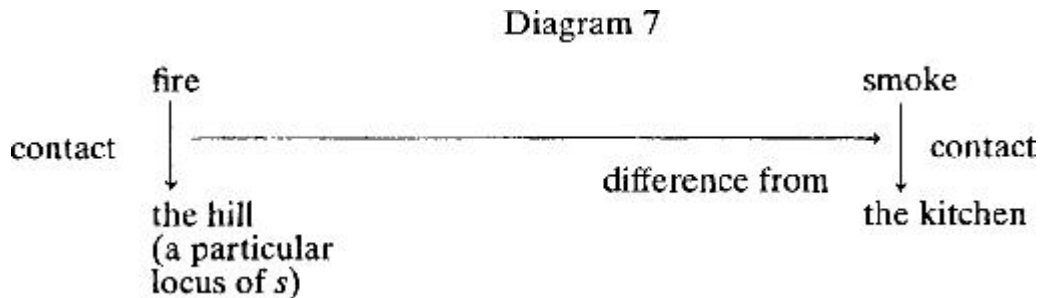
Understanding by 'difference from a locus of *s*' the difference from a particular locus, say, the hill, we can take the kitchen as different from this particular locus of fire, where smoke is present. Thus the definition of pervasion without this insertion will fail to apply to the smoke-fire case, and will be too narrow. This insertion makes explicit what will count as different from a locus of *s*, what will be the counterpositive of the difference from a locus of *s*.

A third insertion is necessary to explain the sense in which the *h* must be present in a locus of absence of *s*. It is pointed out that the limiting relation of *h* in the inference must be the same as the limiting relation of counterpositiveness resident in *h*. This may be explained by diagram 8.

Diagram 8
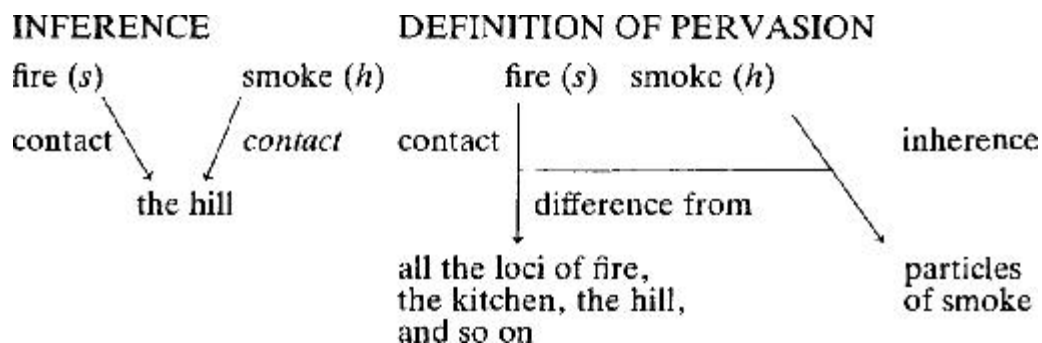
In the inference in diagram 8, smoke on the hill has become the mark (*h*) of fire (*s*) by being in contact with the hill. But the attempt to show that the definition of pervasion is too narrow is based on taking a different relation,

in which smoke is present in its particles, which are different from every locus of fire by contact. So all other conditions have been satisfied, but this new condition in which smoke is to be taken as being absent has not. Hence this attempt to show that the definition is too narrow does not succeed.

The final insertion in the definition shows that substitutivity of ontological identity does not hold in inference. The example given by Viśvanātha is based on the Navya-Nyāya theory of the ontological identity between a qualified object and the object as unqualified. Thus existence is a universal which inheres in the first three categories, namely, substance, quality, and motion. Yet existence *as* excluded from quality and motion inheres only in substance. In Navya-Nyāya terminology, existence qualified by exclusion from quality and motion inheres only in substance, but because existence so qualified and existence pure and simple are ontologically identical, a valid inference would become invalid if this identity is allowed. The inference is this:

> *Inference:* This is a substance, for it possesses existence qualified by exclusion from quality and motion.

This valid inference will become invalid if, in place of qualified existence, we write existence pure and simple. To prevent this sort of substitution, Viśvanātha points out that ontological identity is not sufficient; what is necessary is to consider the mode under which the *h* is cognized. This may be explained by [diagram 9](), and the inference reconstructed in [diagram 10]().

Diagram 9

INFERENCE   being qualified (qualifier-ness) cognitive mode of *h*

substance-ness (*s*)   qualified existence (*h*)

inherence   inherence

a jar
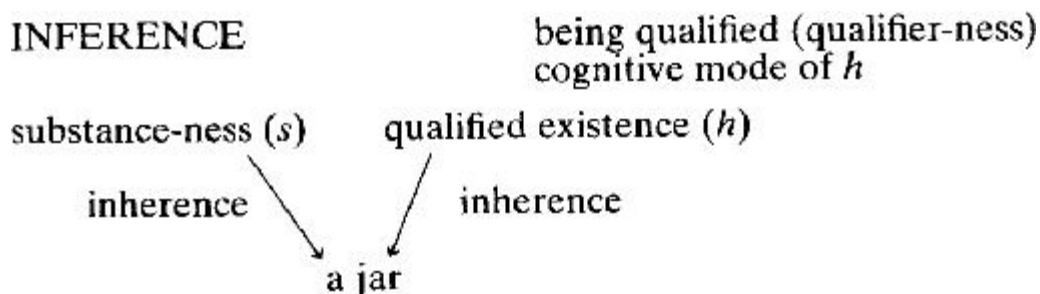
Diagram 10

RECONSTRUCTED INFERENCE

substance-ness (*s*)   qualified existence = existence

inherence |———————————————→| inherence
          | difference from |
all loci of *s*   qualities
(all substances)
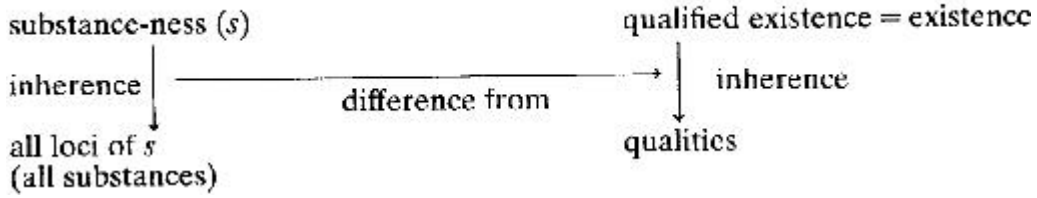
In diagram 10 all the previous conditions have been fulfilled: (a) locus of *s* in the same relation as in the inference; (b) difference from every such locus of *s*; and (c) the relation in which *h* functions in the inference, which is the same relation, namely, inherence. Yet the *h*, qualified existence being ontologically identical with pure existence, inheres in what is different from every locus of *s*. Viśvanātha's suggested solution is that ontological identity is not sufficient to justify the substitution; the mode of cognition also has to be taken into consideration. In the present case, although qualified existence and pure existence are ontologically identical, they are cognized under different modes, in the inference as qualified, and in the substitution as pure, existence. Hence for substitution in any inference, what is necessary is the identity of modes of cognition, not ontological identity.

NOTES

1. Some of these works are listed in Karl H. Potter, *Bibliography of Indian Philosophy*, rev. ed., vol. 1 of *Encyclopedia of Indian Philosophies* (Princeton: Princeton University Press, 1984).

2. Jan Lukasiewicz, *Aristotle's Syllogistic from the Standpoint of Modern Formal Logic*, 2d ed., enl. (Oxford: Clarendon Press, 1957), pp. 2–3.

3. Findlay, J.N., *Meinong's Theory of Objects and Values*, 2d ed. (Oxford: Clarendon Press, 1963), p. 12.

4. P. Geach, "A Medieval Discussion of Intentionality," in *Logic, Methodology and Philosophy of Science*, ed. Yehoshua Bar-Hillel (New York: North-Holland, 1955), p. 425.

5. C. Goekoop, *The Logic of Invariable Concommitance in the Tattvacintamani* (Dordrecht: D. Reidel, 1967), p. 13.

6. *Siddhāntalakṣaṇa, Jāgadīśī*, p. 3. Dr. D. C. Guha has quoted this sentence of Jagadīśā but has missed the point, as he says that to say 'limited by fireness' is to mean 'each and every case of fire' (Dinesh Chanira Guha, *Navya Nyāya System of Logic: Basic Theories and Techniques*, 2d rev. ed. (Delhi: Motilal Banarsidass, 1979), p. 24).

7. For the necessity of this addition, see Vāmācarna Bhattacharyya, *Siddhāntalakṣaṇa* (Benares: Master Khelarilal & Sons, 1933), p. 4.

8. *Bhāṣāpariccheda*, pp. 352–353.

9. It is interesting to note that Buridan's theory of *ratio* as the mode or aspect of the referent "essentially involves quantifying over *rationes*" (p. 428). This shows that limitor in the sense of mode of cognition cannot do the work of quantifiers, and this is emphasized in the texts quoted.

10. Kalipada Tarkacharya, *Navya-Nyāya-Bhāṣā-Pradīpa* (Calcutta: Sanskrit College, 1973), pp. 33ff.

11. "*Yaś ca pratiyogī bhavati, tatra viśeṣaṇatayā pratīyamāno 'sādhāraṇo dharmaḥ tad-gata-pratiyogitāyā vacchedako bhavatīti phalitārthaḥ*" (*Navya-Nyāya Bhāṣā-Pradīpaḥ*, p. 34).

12. *Anyūnā 'natirikta-vṛtti-dharmasyaivâ-'vacchedakatvam NK.*, p. 84.

13. **Sādhyatā-'vacchedaka-saṁbandhâ-'vacchinna-sādhyavattā-'vacchinna-pratiyogitāka-bhedavan-nirūpita-hetutā-'vacchedaka-saṁbandhâ-'vacchinna-hetutā-'vacchedakâ-'vacchinna-vṛttitātvâ-'vacchinna-pratiyogitāka-vṛttitvâ-'bhāvo vyāptiḥ* (P. Sastri, *Bhāṣāparicchedaḥ*, p. 333). Calcutta: Sanislarta Pustaka Bhandar, 1971.

The Nyāya on Double Negation

J. L. Shaw

The aim of this paper is to discuss the Nyāya theory of double negation in the light of the four types of negation mentioned in the classical theory of the Nyāya system. Since the Nyāya has discussed negation at the linguistic, epistemic, and ontological levels, the proper understanding of the Nyāya view would presuppose the Nyāya conception of cognition, relation, and meaning. Moreover, the Nyāya concept of negation is not identical with either the term-negation or the proposition-negation discussed in contemporary philosophy. The first section of this paper will deal with some of the basic concepts of the Nyāya, and the second section will deal with the sixteen types of double negation.

1

It is claimed by contemporary logicians that what is negated is a proposition or a proposition-like expression. Arthur Prior in his article on negation said:

> By the use of open sentences all the varieties of negation are reduced to the placing of "not" or "it is not the case that" before some proposition or proposition-like expression, the whole being either contained or not contained within some wider propositional context. This reduction assumes that with the basic singular form "x is an A" or "x ϕ's" there is no real distinction between the internal negation "x is not an A" (or "x is non-A") or "x does not ϕ" and the external negation "Not (x is an A)" or "Not (x ϕ's)".

From the above remarks it follows that all types of negation are reducible to the negation of a proposition or a propositional function. The distinction between an external and an internal negation is relevant in the context of a complex proposition. The negation of 'If p, then q' is not 'If p, then not-q', but 'Not (If p, then q)'. Similarly, if we apply Russell's theory of definite description, then in contexts like 'The present King of France is bald', the negation (i.e., the external negation) is not 'The present King of France is not bald', but 'It is not the case that the present King of France is bald'. But this distinction between an external and an internal negation does not suggest that the negation has been applied to different types of entities. The negation is applied to either a proposition or a proposition-like expression as Arthur Prior suggested. In this respect the Nyāya concept of negation is different from the contemporary concept of negation.

According to the Nyāya what is negated is the second term of a dyadic relation *as the second member of this relation*. The explanation of this concept would lead us to the Nyāya concept of cognition and relation.

The Nyāya has drawn a distinction between a qualificative cognition and a nonqualificative cognition.[1] A qualificative cognition can be expressed by a complex expression of the form 'aRb', where 'a' stands for the qualificand, 'b' for the qualifier, and 'R' for the qualification relation. Hence a qualificative cognition necessarily involves at least three elements at the epistemic level.[2] In a qualificative cognition an object is cognized under some mode of presentation, but in a nonqualificative cognition the ultimate elements of a qualificative cognition are cognized without any mode of presentation.

Let us consider the cognition of a table expressed by the expression 'a table'. In this cognition a particular table is the qualificand, the universal tableness is the qualifier, and the relation of tableness to a particular table is the qualification relation, which in this context is inherence. Since a table is the qualificand, it has the property of being the qualificand. This property of being the qualificand simply specifies the role of this object at the epistemic

level. Similarly, the universal tableness which is the qualifier has the property of being the qualifier. The relation of inherence is neither a part of the qualificand, nor is it a part of the qualifier. It is a mode of presentation of the qualifier. That is to say, the universal tableness is cognized as the second member of the relation of inherence. In the technical language of the Nyāya it is described as "the limiting relation of the property of being the qualifier". In a more complex cognition expressed by the expression, say, 'a table is brown' or 'a brown table', the qualificand is a table and the qualifier is a particular brown color. The property of being the qualificand residing in a table which is the qualificand is limited by the universal tableness, and the property of being the qualifier residing in a brown color which is the qualifier is limited by the universal brownness. The relation of inherence which relates a brown color to a table is also a mode of presentation of the brown color. Hence this relation becomes the limiting relation of the property of being the qualifier. The property of being the qualificand is limited by a property alone, while the property of being the qualifier is limited by both a property and a relation.

This feature of the Nyāya can be compared to some extent with Frege's distinction between saturated and unsaturated parts of a thought. Frege claimed ([3], p. 54), "... not all parts of a thought can be complete; at least one must be 'unsaturated', or predicative; otherwise they would not hold together". The Nyāya also considers the qualifier as unsaturated in the sense that the relation is also a mode of presentation of the qualifier. Moreover, the Nyāya has given specific reasons for the inclusion of a relation within the mode of presentation of the qualifier.[3] However, from this comparison I do not intend to conclude that the Nyāya use of the term 'qualifier' is the same as Frege's use of the term 'concept'. What I am emphasizing is the unsaturatedness of a qualifier in the sense that it necessarily depends upon a relation.

From the above discussion it follows that any qualificative cognition can be described by the form 'aRb', where 'a' stands for the qualificand, 'b' for the qualifier, and 'R' for the qualification relation. When this description is

expanded in the technical language of the Nyāya, it takes the following form:

The cognition in which the property of being the qualificand residing in *a* is limited by *a*-ness and determined by the property of being the qualifier residing in *b*, which is limited by both *b*-ness and *R*.[4]

The distinction between the relation *limited by* and the relation *determined by* can be explained in the following way:

(A) *x* is limited by *y* iff

(i) both *x* and *y* are properties,
(ii) *x* is a relational property, and
(iii) the property *y* is a mode of presentation of the object where relation property *x* resides.

In this context it is to be noted that the expression 'mode of presentation' is used in such a way that it determines the referent(s) of a term. Moreover, the Nyāya use of the term 'property' is much broader than the ordinary use of it. A property, according to the Nyāya, has been defined in the following way:

x is a property iff (∃*y*) (*y* is a locus of *x*)

(B) *x* is determined by *y* iff both *x* and *y* are relational properties of correlatives.

In this context it is to be noted that the *determined by* relation is symmetrical. That is to say, if *x* is determined by *y*, then *y* is also determined by *x*. But the *limited by* relation is not symmetrical.

Now let us discuss the Nyāya conception of relation and the classification of relations which is the basis for drawing a distinction between the two types of negation. According to the Nyāya *R* is a relation if the following conditions are satisfied:

(i) It is due to R that x appears as the qualificand and y appears as the qualifier of a cognition which is expressed by 'xRy'.

(ii) It is due to R that the referents of 'x' and 'y' are unified in such a way that 'xRy' represents a fact in the world.

The former feature of a relation is epistemic and the latter one is ontological. At the level of fact, x is called 'the first term' ('*anuyogin*') and y is called 'the second term' ('*pratiyogin*') of R. At the epistemic level x is the qualificand and y is the qualifier of R.

According to the Nyāya all relations are dyadic, and all higher-order relations are reduced to a set of dyadic relations. All relations can be divided into two types depending upon whether the second term occurs in the first term or not. The relation in which the second term occurs in the first term is called 'occurrence-exacting relation'. The linguistic form 'y is in x' or 'y occurs in x' represents this type of relation. If the second term does not occur in the first term, then the relation is called 'not occurrence-exacting'. Relations like conjunction and inherence are occurrence-exacting.[5] But relations like identity, pervasion, the property of being the content, the converse of the property of being the content are not occurrence-exacting. In this context another important aspect of the Nyāya concept of relation should be mentioned. In some context a term itself plays the role of a relation. This type of relation is a self-linking relation (*svarūpa-sambandha*). Relations like the relation of the property of being Socrates to its possessor, relation of the property of being the present President of the United States to its possessor are self-linking relations. Most of the relational abstracts, such as the property of being the substratum, are considered as self-linking relations. In addition to these types of self-linking relations there are spatial and temporal self-linking relations. The self-linking relation plays an important role in the context of a negation. When we say 'x has the absence of y', what we mean or understand is that the absence of y, which is a negative entity, is related to its locus x by an absential self-linking relation which is a special type of self-linking relation. That is to say, the relation of the absence of y to x is not a separate ontological entity. It is to be identified

with at least one of the terms of a relation. According to most of the Nyāya philosophers it is to be identified with the first term of a relation (*anuyogin*).

Now let us formulate the criteria for forming a significant negative expression. If the following conditions are satisfied, expressions of the form 'not-*t*', or 'absence of *t*', or 'non-*t*' would be considered significant:

(i) If '*t*' is a meaningful expression or refers to an entity, then 'not-*t*' would be significant provided '*t*' does not refer to an absolutely universal property such that nothing lacks this property. According to the Nyāya properties like *nameability, knowability*, and *existence*, are considered universal properties in this sense.[6] Hence, expressions like 'nonexistence', 'nonnameability' and 'nonknowability' are not considered significant negative expressions.

(ii) If 'not-*t*' is significant, then '*t*' is not an empty term. Since terms like 'a hare's horn', 'Pegasus', and 'unicorn' are considered as empty, their negations would not be significant negative expressions. From this condition one should not conclude that any expression which contains an empty term is nonsignificant.[7] Instead of the sentence 'A hare's horn does not exist', the Nyāya prefers the sentence, 'There is an absence of a horn in a hare'.

(iii) The expression 'not-*t*' or 'negation of *t*' will be meaningful if we know what it is for *t* to be present somewhere. If we know what it is for *t* to be present somewhere, then we know the manner of presentation of *t*. Since *t* is the counterpositive (negatum) of the negation of *t*, *t* has the property of being the counterpositive. This property simply specifies the role of *t* in the context of a negation. The manner of presentation of *t* in the cognition negation of *t* is the limitor of the property of being the counterpositive residing in *t*. If the manner of presentation of *t* is a property, then the limitor is called a 'property-limitor', and if the manner of presentation is a relation in which *t* is cognized, then the relation is called a 'relation-limitor'. The relation in

which *t* is present somewhere is called 'The limiting relation of the property of being the counterpositive residing in *t*'. The property of being the counterpositive is limited by a property (simple or complex) and a relation (simple or complex).[8]

At the epistemic level the cognition of not-*t* presupposes or depends upon the cognition of *t*. If a person has not cognized *t*, then he cannot cognize not-*t*. The cognition of *t* such that *t* is presented under some mode of presentation is considered as one of the causal conditions for the cognition of not-*t*. But the relation between the cognition of not-*t* in the locus *l* and the cognition of *t* in the same locus *l* is preventer-prevented, which is the analogue of the contradictory relation between two contradictory propositions.

When we discuss the validity and the invalidity of a cognition, or the truth and falsity of a proposition which expresses a cognition, we move from the epistemic level to the ontological level. If a cognition is valid, then all the elements of it are real, and the relation relates the second term with the first term. In the case of the valid cognition of *aRb*, the cognition as a mental entity is related to *a*, *b*, *R*, and the complex *aRb*. But in the case of an invalid cognition, the cognition is related to *a*, *b*, and *R*, but not to the complex *aRb*. Hence the content of an invalid cognition does not have the property of being the content of qualificand-qualifier complex (*viśiṣṭā-viṣayatā*), and the cognition does not have the converse of this relation. In other words, in a valid cognition the relation not only makes one of the terms a qualifier of another term which is the qualificand, but also relates the former to the latter at the level of fact. Since the second function of a relation is absent in an invalid cognition, it is said that the qualification relation is unreal. In this context it is to be noted that my use of the term 'unreal' in this context does not mean 'nonentity'. The qualification relation is an entity, but in the case of an invalid cognition it does not perform the second function of a relation. However, some Nyāya philosophers, for example, Vācaspati Miśra, have claimed this relation to be a nonentity (*asat;* cf. [13], p. 271). Now the question of the validity or invalidity of a cognition introduces the problem

whether the negation of t (i.e., not-t) or t is present in a locus. According to the Nyāya if t occurs pervasively in its locus, then the negation of t cannot be present in the same locus, and conversely. But both t and the negation of t are real entities in the world. Hence the expressions 't' and 'not-t' are nonempty terms. If t does not occur pervasively in its locus, then the negation of t is also present in the same locus, and conversely. But this does not lead to a contradiction because t and not-t do not characterize the same portion of the locus at the same time. Here also both 't' and 'not-t' are nonempty terms.

Above we discussed the problem of negation at three different levels and how these levels are related to one another; now let us introduce the Nyāya classification of different types of negation.

Broadly speaking, there are two types of negation, viz., relational absence, and mutual absence or difference. The distinction between them can be drawn in terms of the limiting relation of the property of being the counterpositive which resides in the negatum. At the linguistic level these negations can be represented by the following forms:

(1) x is not in y or x does not occur in y, or not-x is in y.
(2) x is not y, or x is different from y.

(1) represents relational absence and (2) represents mutual absence. In (1) not-x occurs in the locus y, and x is the counterpositive of not-x. The property of being the counterpositive residing in x (i.e., the role of x) is limited by both x-ness and an occurrence-exacting relation. In other words, both x-ness and an occurrence-exacting relation are modes of presentation of x. Here x-ness is the property-limitor and an occurrence-exacting relation is the relation-limitor. In (2) y is the counterpositive, i.e. the negatum, and the property of being the counterpositive residing in y is limited by both y-ness and the relation of identity. So the relation of identity is the limiting relation of the property of being the counter-positive.

Most of the Nyāya philosophers have accepted three types of relational absence:

(1) The relational absence of an object before its production is the not-yet type of absence *(Prāgabhāva)*. The absence of a jar before its production is present in its parts.[9] The cognition of this absence can be expressed by the sentence 'A jar will be produced in these parts'. When the jar is produced, the not-yet type of absence does not exist in its part. Since it cannot exist anywhere else, it ceases to exist. This type of absence has no beginning, but has an end. Since we are not asserting the absence of all jars, but the absence of the jar which will be produced, the property of being the counterpositive is limited not by a generic property like jarness, but by a specific property like a particular blue color *and* jarness.[10] As regards the limiting relation of the property of being the counterpositive, there is some difference of opinion among the Nyāya philosophers. It is claimed that since the jar has not yet been produced, the property of being the counterpositive is not limited by any relation. But the old Nyāya has accepted a temporal relation as the limiting relation of the property of being the counter-positive. If the absence of the jar is in its parts at t_n and the jar is produced in the parts at t_{n+1}, then obviously the jar is related to its parts by the relation of posterior existence. This temporal relation of posterior existence is considered as the limiting relation of the property of being the counterpositive. But the followers of the Navya-Nyāya do not subscribe to this view.

(2) The relational absence of an object after its destruction is the no-more type of absence (*dhvaṃsa*). The absence of a particular jar when it is destroyed is present in its parts. Since the destruction of a particular jar does not imply the destruction of all jars, the property of being the counterpositive is limited, not by a generic property, but by a specific property of the jar which has been destroyed. As regards the limiting relation, here also there is difference of opinion among the Nyāya philosophers. The followers of the Navya-Nyāya do not accept any limiting relation, while the followers of the old Nyāya have accepted a

temporal relation as the limiting relation. If the destruction of a particular jar is the separation of its parts, then the whole jar ceases to exist at time, say, t_n, when it is destroyed. If 'ceases to exist at time t_n' is explained as 'existent at time t_{n-1}', then the parts are related to the jar by the relation of previous existence.[11] For this reason it is claimed that the property of being the counterpositive is limited by the temporal relation of previous existence. Apart from this temporal relation the property of being the counterpositive is not limited by any other relation. A no-more type of absence has a beginning, but no end.

(3) The third type of relational absence is the never type of absence (*atyantābhāva*), for example, the absence of color in air, or the absence of a jar on the ground. Some of the followers of the old Nyāya do not consider the absence of a jar on the ground as a case of never type of absence. Since a never type of absence has neither a beginning nor an end, and since the absence of a jar on the ground has both a beginning and an end, these philosophers think that there is a need to accept a fourth type of relational absence. But the followers of the Navya-Nyāya as well as some of the followers of the old Nyāya think that the acceptance of the fourth type of relational absence would lead to the postulation of innumerable absences of a jar on the same ground. Each time the jar is removed, a new absence is created, and each time the jar is brought back, the previous absence is destroyed. In order to avoid this consequence, it is claimed that what ceases to exist when the jar is brought back is not the absence of it, but the relation of this absence to the ground. An absence is related to its locus by a self-linking relation which is to be identified ontologically with its locus. Now the followers of the Navya-Nyāya are of the opinion that this self-linking relation in the case of the absence of a jar on the ground is to be identified not with the ground as such, but with the ground when a jar is not present. Since this self-linking relation ceases to exist when a jar is brought on the

ground which had an absence of a jar, we cannot perceive this absence when a jar is present on the same ground. So on the ground of parsimony these philosophers have included such examples under the third type of relational absence.

The property of being the counterpositive of a never type of absence is limited by both a property-limitor and a relation-limitor. But the limiting relation is an occurrence-exacting one.[12]

2

Now let us discuss whether the law of double negation holds good for the Nyāya philosophy. Since there are four types of negation according to the classical view of the Nyāya, there would be sixteen types of double negation. The aim of this paper is to discuss: (i) whether each of the sixteen double negations is identical with something or not, (ii) if it is identical with something, whether it is a positive or a negative entity, and (iii) if it is identical with a positive entity, whether it is the same as the negatum of the first negation. Let us use the symbol '~' for a never type of absence, the symbol '¬' for a not-yet type of absence, the symbol '⌐' for a no-more type of absence, and the symbol '−' for a mutual absence.

(1) ~~ x.

It is claimed by Gaṅgeśa and many other Nyāya philosophers that a never type of absence of a never type of absence of x is identical with x. The arguments in favor of this view are mainly epistemological. It is claimed that whenever we perceive the presence of an object, say a pot, we do not perceive the absence of it in the same locus and vice versa. The perceptual cognition of one will be prevented by the perceptual cognition of the other. Hence a never type of absence of a never type of absence of x is identical with x, i.e., with the counterpositive.

Raghunātha, a follower of the Navya-Nyāya school, does not subscribe to this view. He claimed that as we accept a negative entity in order to

establish the truth of the proposition 'There is an absence of a pot on the ground', so we accept a negative entity in order to establish the truth of the proposition 'There is an absence of an absence of a pot on the ground'. Moreover, he claimed that all absences have something in common and this common property distinguishes absences from all other positive entities. The property of being an absence (*abhāvatva*), which is a common character of all absences, is an unanalyzable imposed property and it is to be distinguished from other class-characters such as horseness or cowness. In this context it is to be noted that any property other than a class-character (*jāti*) such as horseness is called 'an imposed property' ('*upādhi*'). Hence, a never type of absence of a never type of absence of *x* is not identical with *x*. Now the question is whether a third or a fourth never type of absence is also a separate absence or not. On this point Raghunātha claimed that a third never type of absence is identical with the first never type of absence and the fourth never type of absence is identical with the second never type of absence. So the law of double negation is valid in the following cases:

(a) ~ ~ ~ *x* = ~*x*
(b) ~ ~ ~ ~*x* = ~~*x*.

The general rule may be stated in the following way:

If *n* never types of absence precede *x*, then ~*x* is identical with it provided *n* is an odd number of never types of absence; and if *n* is an even number of never types of absence, then it is identical with ~~*x*.

Pakṣadhara Miśra, a follower of the Nyāya school, considers a never type of absence of a never type of absence of *x* as identical with the limiting relation of the property of being the counterpositive.

Let us consider the proposition 'There is a pot on the ground by the relation of conjunction'. If this proposition is true, then there is a pot on the ground by the relation of conjunction. The never type of absence of a never type of absence of this pot by the relation of conjunction is identical with the conjunction relation which is a particular quality of both the pot and the

ground according to the ontology of the Nyāya school. But Raghunātha has raised an objection against this view on the ground that if an absence of an absence of a pot by the relation of conjunction is identical with the conjunction relation, then the cognition of an absence of a pot and the cognition of an absence of an absence of a pot cannot be related by preventer-prevented relation. If we accept the view of Pakṣadhara Miśra, then the cognition of an absence of an absence of a pot being identical with the cognition of conjunction relation cannot be prevented by the cognition of an absence of a pot. Since the view of Pakṣadhara Miśra violates the law of contradiction at the epistemic level, it is to be rejected on this ground. Hence ~~x cannot be identical with any relation.

There is another view which might be considered as a mean between the first and the second view. The first one identifies ~~x with x. The second one does not identify ~~x with x; rather it considers ~~x as a separate entity. The fourth view claims that the referent of 'x' is identical with the referent of '~~x', but they are different with respect to sense or the mode of presentation. In the former case, the x is presented under the mode of x-ness, while in the latter case the same x is presented under the mode of the property of being ~~x. Let us consider the absence of a pot on the ground. The counterpositive of this absence is the pot which is presented under the mode of potness. That is to say, the property of being the counterpositive resident in a pot is limited by the property *potness.* Now the question is what would be the counterpositive of ~~~x. If ~~x is identical with x, then the counterpositive of it (~~~x) is x. If it were so, then what would be the difference between ~x and ~~~x? This view claims that the counterpositive of ~~~x is x, but it is presented under the mode of the property of being ~~x. So both 'x' and '~~x' refer to the same object but under different modes of presentation. If the limiting relation of the property of being the counterpositive residing in the counterpositive of ~x is different from the limiting relation of the property of being the counterpositive residing in the counterpositive of ~~~x, then also both 'x' and '~~x' refer to the same thing, but under the mode of different relation-limitors.

(2) ¬~x.

Now let us discuss whether a not-yet type of absence of a never type of absence of x is identical with any entity. Since the negatum of a not-yet type of absence is a future object and since a never type of absence is not a future object, but an eternal entity, this type of double negation does not represent any entity, positive or negative. Let us consider the absence of color in air by the relation of inherence. Since air has no color, this type of absence is an example of a never type of absence. A not-yet type of absence of a never type of absence of color would not represent any entity. Hence ¬~x would not be identical with anything.

(3) ⌐~x.

Similarly, a no-more type of absence of a never type of absence of x would not be identical with anything. Since the negatum of a no-more type of absence is a past object which no longer exists, and since a never type of absence cannot be destroyed, a no-more type of absence of a never type of absence cannot represent either a positive or a negative entity. Hence '⌐~x' does not represent anything.

(4) −~x.

A mutual absence of a never type of absence of x is not identical with x. Consider the never type of absence of color in air. This absence qualifies the air, or in other words, it is a property of the air. The mutual absence of the never type of absence of color is in all objects other than the never type of absence of a color. This absence qualifies the air, and the color along with many other objects except the never type of absence of color. Hence $−~x$ is never identical with x.

(5) −−x.

Now let us discuss whether a mutual absence of a mutual absence of x is identical with x. According to the old Nyāya it is not identical with x or with any other entity. Consider the proposition 'A is different form B' In this

case the property called 'difference from *B*' becomes a property of *A.* The property *difference from B* is itself different from everything else. So the property *difference from difference from B* is a property of everything other than *difference from B.* If it were so, then $--B$ is not identical with *B.* As a matter of fact $--B$ becomes a property of *B* also. The same type of argument is applicable to all higher-order mutual absences. A higher-order mutual absence cannot be identical with a lower-order mutual absence.

In order to avoid this regress of mutual absences, Raghunātha claimed that a mutual absence of a generic mutual absence should be identified with the property of being a positive entity (*bhāvatva*) and the property of being a relational absence. In this context the difference between a generic mutual absence and a specific mutual absence is to be noted. If 'α' ranges over all objects other than mutual absences, then '$-\alpha$' represents a generic mutual absence. But expressions like 'the mutual absence of a pot' or 'the mutual absence of a cloth' represent specific mutual absences. According to the Nyāya all positive entities have something in common which is called 'the property of being a positive entity' (*bhāvatva*). Similarly, all relational absences have something in common which is called 'the property of being a relational absence' ('*saṃsargābhāvatva*'). In the Nyāya ontology the objects which are different from mutual absences are of two types, viz., positive entities and relational absences. Hence, the property represented by the expression 'a mutual absence of a generic mutual absence', i.e., '$--\alpha$', is present in all positive objects and relation absences. For this reason Raghunātha identified this property with the property of being a positive entity (i.e., positivity) and the property of being a relational absence. But the mutual absence of a specific mutual absence is to be identified with the property of being positive entity, the property of being a relational absence and the property of being a mutual absence of other specific objects. Consider a universe of discourse where '*a*' represents a positive object, '*b*' represents a relational absence, but '*c*' and '*d*' represent two different mutual absences. Now the mutual absence of *c*, i.e., difference from *c*, is a property which is to be identified with the property of being *a*, the property of being *b*, and the property of being *d.* On the ground of simplicity, Raghunātha

wants to justify this thesis as opposed to the thesis that there are innumerable mutual absences.

(6) ~−x.

Now the question is whether a never type of absence of a mutual absence of x is identical with x or with something else. Some followers of the old Nyāya have identified ~−x with x. That is to say, just as a never type of absence of a never type of absence of x is identical with x, so a never type of absence of a mutual absence of x is identical with x.

Two objections have been raised against this view:

(i) If we identify ~−x with x, then we cannot apprehend x as the locus of ~−x when we say "x has a never type of absence of a mutual absence of x". Since we do apprehend x as the locus of ~−x, they cannot be identical with each other.

(ii) Secondly, this view goes against the law of parsimony in the following way. Consider a never type of absence of a mutual absence of a pot. If this absence is identical with a pot, then we have to admit innumerable never type of mutual absences of a pot as there are innumerable pots. For these reasons Gaṅgeśa and many other Nyāya philosophers have identified ~−x with x-ness. Let us explain this identification with an example. Consider the property of *difference from a pot.* This property is present in all things other than a pot, but the property of *the never type of absence of difference from a pot* is present in all pots only. According to the Nyāya, since potness occurs in all and only pot-individuals the property ~−*pot* is to be identified with potness. On the ground of simplicity also this identification can be justified.

But if we claim that a never type of absence of a never type of absence of x is identical with x, then ~−x = x-ness ceases to be a universally valid law. This can be proved in the following way (cf. [4]):

(a) $\sim\sim x = x$

(b) $\sim\sim -x = -x$ [(b) follows from (a) by the rule of substitution]

(c) The counterpositive of $\sim\sim -x$ = the counterpositive of $-x$ [(c) follows from (b)]

(d) The counterpositive of $\sim\sim -x$ = $\sim -x$, and the counterpositive of $-x$ = x [from the Nyāya view of negation]

(e) Therefore $\sim -x = x$ [from (c) and (d)]

Some Nyāya philosophers including Mathurānātha are of the opinion that $\sim -x$ has a dual nature. In some context $\sim -x$ is identical with x, and in some other context $\sim -x$ is identical with x-ness. Now if we accept this view of some Nyāya philosophers, then we cannot accept Leibniz' principle of the identity of indiscernibles as a universally valid law of identity.

On this point the view of Raghunātha seems to be superior to the views of other Nyāya philosophers. According to him, just as a never type of absence of a never type of absence of x is not identical with any positive entity, similarly a never type of absence of a mutual absence of x is not identical with any positive entity. Since all absences have something in common, a never type of absence of a mutual absence of x is a separate negative entity. A higher-order absence might be identified with a lower-order absence, but an absence cannot be identified with a positive entity. Hence, a never type of absence of difference from x cannot be identified either with x or with x-ness.

Moreover, the Nyāya conclusion that the property $\sim -x$ is identical with x-ness does not follow from the premise that $\sim -x$ and x-ness have the same locus. In some other contexts the Nyāya philosophers have not identified two properties of this type. Cowness belongs to all and only cows. The property of being an animal with a dewlap also belongs to all and only cows. But the latter has not been identified with the former. The latter is considered as an analyzable imposed property, while the former is considered as a class-character which is an unanalyzable property. If we follow the view of Raghunātha, then we can consider the property *the never type of absence of difference from a cow* as an analyzable imposed property

of all and only cows. This property is analogous to the property of being an animal with a dewlap. The latter is a positive entity, while the former is a negative entity, but both of them are complex properties.

(7) ⌐−x.

Now the question is whether anything corresponds to a no-more type of absence of a mutual absence of x. Since a mutual absence is considered as eternal, i.e. having no beginning and end, a no-more type of absence of a mutual absence is not an entity. Hence the linguistic expression 'a no-more type of absence of a mutual absence of x' is an empty-term.

(8) ¬−x.

Similarly, a not-yet type of absence of a mutual absence of x does not correspond to an entity. Since a mutual absence is eternal, there cannot be a not-yet type of absence of it.

In this context, it is to be noted that some of the Nyāya philosophers such as Śivāditya Miśra do not accept the eternality of a mutual absence. They think that a mutual absence of a pot is also destroyed when a pot is destroyed. Similarly, they would admit a not-yet type of absence of a mutual absence of a pot when a pot is not yet produced. But most of the Nyāya philosophers do not subscribe to this view. If we admit this view, then the destruction of a pot would also lead to the destruction of the mutual absence of the same pot. But we can truly say that a piece of cloth is different from that pot. If the *difference from a pot* is also destroyed due to the destruction of the pot, then we cannot find a fact which will correspond to the proposition 'this piece of cloth is different from that pot'. Similarly, before the production of a pot it can be said truly that a piece of cloth is different from a pot which will be produced. Since the past, present, and future objects are real, according to the Nyāya view, their differences are also real. Hence the propositions about these differences have truth values. For this reason the followers of the Navya-Nyāya do not subscribe to the view of Śivāditya Miśra. According to them both a never type of absence and a mutual absence of x are eternal entities.

(9) $\neg\neg x$.

Now let us discuss whether a not-yet type of absence of a not-yet type of absence of x is possible. According to the Nyāya a not-yet type of absence of a pot resides in the material cause of a pot. If we admit a not-yet type of absence of a not-yet type of absence of a pot, then it must be locatable either in the material cause of the pot or in the pot, or anywhere else. If it is locatable in the material cause of a pot, then it will have a contradictory property. Since there is no contradiction in reality, it is not possible. It cannot be identified with a pot, as there is no such pot when there is a not-yet type of absence of a pot. A not-yet type of absence has no beginning. If it were so, then its not-yet type of absence would not be possible. So the acceptance of $\neg\neg x$ will destroy the very nature of a not-yet type of absence.

(10) $\sim \neg x$.

A never type of absence of a not-yet type of absence of x, according to the Nyāya, is not identical with x. It is considered as a separate entity. Let us explain with an example. A not-yet type of absence of a pot is present in the material cause of it. A never type of absence of this absence characterizes all other objects. When a pot is produced this never type absence, being an eternal entity, is not destroyed. it still characterizes those objects. If it is identified with a pot, then it ceases to be a never type of absence because a pot is not eternal. Hence, $\sim\neg x$ is not identical with x.

(11) $-\neg x$.

Similarly, a mutual absence of a not-yet absence of x is not identical with x. It is a separate ontological entity, and characterizes all objects which are different from the not-yet type of absence of x. The not-yet type of absence of a pot is present in its parts which are material causes of a pot. The mutual absence of it, viz., the property *difference from this absence*, is a character of all other objects including the pot which will be produced and its parts. Hence, $-\neg x$ is not identical with x.

(12) $\lrcorner\neg x$.

Now let us discuss whether a no-more type of absence of a not-yet type of absence of x is identical with x. According to the classical view, it is identical with x. Let us consider the not-yet type of absence of a pot before the production of a pot. When the pot is produced this not-yet type of absence is destroyed. Hence, it is identical with the pot. Before the production of a pot, the not-yet type of absence of a pot was the character of the parts of a pot. When a pot is produced, the pot becomes a property of its parts. So a pot is nothing but a destruction of the not-yet type of absence of a pot.

But Raghunātha, a follower of the Navya-Nyāya, does not subscribe to this view. According to him it is a separate negative entity. When a pot is present in its parts we can apprehend the destruction of the not-yet type of absence in the same locus. If a pot is identical with the destruction of the not-yet type of absence of it, then it is not possible. Hence, it is claimed that $\sqcup\neg x$ is a separate negative entity and not identical with x.

(13) $\sqcup\sqcup x$.

A no-more type of absence of a no-more type of absence of x does not correspond to an entity. This follows from the very nature of a no-more type of absence. Since a no-more type of absence is endless or never ceases to exist, its destruction is not possible. Hence, the expression for it would not represent any real object. Hence, '$\sqcup\sqcup x$ does not represent an entity.

(14) $\neg\sqcup x$.

With respect to a not-yet type of absence of the no-more type of absence of x, there is some difference of opinion between the old Nyāya and Raghunātha. According to the old Nyāya it is identical with x. Let us consider the destruction or the no-more type of absence of a pot. Before the destruction of a pot there is the not-yet type of absence of it (destruction of a pot). This not-yet type of absence is the pot itself. Hence '$\neg\sqcup x$ is identical with x. Here also Raghunātha claimed that we can apprehend the not-yet type of absence of the destruction of a pot when a pot is present in its parts. If it is identical with a positive entity, then this type of apprehension of a

negative entity is not possible. Hence a not-yet type of absence of a no-more type of absence of x is a separate negative entity.

(15) $\sim\!\!\underline{\hspace{0.3cm}}x$.

A never type of absence of a no-more type of absence of x is not identical with x. A never type of absence is an eternal entity, but things like a pot or a cloth are non-eternal entities. Hence, it cannot be identified with a non-eternal entity. The no-more type of absence of a pot is present in the parts of a pot when it is destroyed. The never type of absence of this absence characterizes all other objects including the parts of a pot. Hence, $\sim\!\!\underline{\hspace{0.3cm}}x$ is not identical with x.

(16) $-\!\!\underline{\hspace{0.3cm}}x$.

Similarly, a mutual absence of a no-more type of absence of x is not identical with x. Since a mutual absence is an eternal entity and things like a pot or a piece of cloth are noneternal entities, a mutual absence cannot be identified with a noneternal object. When a pot is destroyed, a new object comes into being which has no end. The property *destruction of a pot* characterizes the parts of a pot, but the property *difference from this destruction* is present in all other objects including the parts of the pot. Hence, it is to be accepted as a separate negative entity which characterizes the things which are different from the destruction of a pot. For this reason $-\!\!\underline{\hspace{0.3cm}}x$ is not identical with x.[13]

From the above discussion of double negation it follows that some of the Nyāya philosophers, especially the followers of the old Nyāya, are trying to identify double negation of a positive entity with the positive entity itself or with a property which is a positive entity, but most of the followers of the Navya-Nyāya want to identify it with a negative entity. Following the suggestions of some Nyāya philosophers, it may be said that in most cases the double negation of x is not a separate ontological entity. It is another mode of presentation of x. As in the case of the never type of absence of a never type of absence of x, both the expressions '$\sim\!\sim\!x$' and 'x' refer to the same entity under different modes of presentation, so in cases like the not-

yet type of absence of the no-more type of absence of *x*, and the no-more type of absence of the not-yet type of absence of *x*, the same entity is referred to under different modes of presentation. This technique may be utilized wherever double negation can be explained without postulating a separate negative entity. This view will cut across the two other extreme theses found in the Nyāya literature. However, from this remark one should not conclude that all cases of double negation can be explained in this way.

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NOTES

1. In this context the term 'cognition' is used to talk about the content of cognition, not the act of cognizing.
2. At the ontological level these elements need not be separate or distinct elements.
3. A discussion of this point requires a separate paper.
4. In this context I have not introduced the Nyāya distinction between a sentence which gives rise to a cognition and a sentence which describes this cognition. The latter is essentially richer than the former. This distinction has been discussed in [12].
5. There are a few conjunctions which are not occurrence-exacting relations.
6. For a discussion on this topic, see [10].
7. For a discussion on empty terms, see [9], [11].
8. According to some Nyāya philosophers, the property of being the counterpositive of a not-yet or no-more type of negation is not limited by a relation-limitor.
9. This law does not hold good with respect to the not-yet type of absence of a no-more type of absence.
10. According to the old Nyāya the property of being the counterpositive is limited by a generic property.
11. Jagadīśa says *"Prāgabhāva-dhvaṃsayorapi uttarapūrvakālāveva,"* quoted in Madhusūdana Nyāyācārya (1976).
12. But a section of the Nyāya philosophers do not subscribe to the thesis that a not occurrence-exacting relation other than identity cannot be the limiting relation of the property of being the counterpositive. Gadāhara in his *Vyutpattivāda* says, *Vṛtti-aniyāmaka-sambandhasya-abhāva-pratiyogitā-avacchedakatve-ko-doṣaḥ*, quoted in Kalipada Tarkāchārya (1973). For a discussion see [11].
13. In this section I have included some of the discussion from *The Padārthatattva Nirūpaṇaṃ*, translated and elaborated by Pandit Madhusūdana Nyāyācārya, and *Navya-Nyāya-Bhāṣāpradīpaḥ*, edited with commentary by Pandit Kalipada Tarkāchārya. I am also indebted to Pandit Visvabandhu Bhattacharya. However, the faults are mine.

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The Middle Term

Sibajiban

Syllogism is traditionally conceived as a form of mediate inference. The distinction between mediate and immediate inference is usually stated thus: "For the most part a new judgement is only got by putting together two judgements, and as it were extracting what they yield. But there are a few conclusions which we appear to draw *not* from any 'putting together' of two judgements, but simply from the relation to one another of the terms in one judgement. This is called *immediate* inference ..." (Joseph [1], p. 232). According to Joseph, therefore, a syllogism to be a form of mediate inference has to fulfil two conditions: (a) there must be two judgements functioning as premises, and (b) the two premises must be 'put together' in order to yield the conclusion. We shall attempt here to examine the nature of 'putting together' of the two premises in syllogistic inference.

It is often contended that this 'putting together' of the premises is nothing but their conjunction. To say that the conclusion of a syllogism follows neither from the major premise alone, nor from the minor premise alone, but from the both 'put together' is simply to say that it follows from their conjunction. This is also necessary to explain why mediate inferences in general and syllogisms in particular ought to be regarded as logically valid implications with the conjunction of the premises as the antecedent and the conclusion as the consequent.

Against this theory we shall try to show that the conjunction of the premises cannot be regarded as explaining what it is to 'put them together', for this theory fails to bring out an essential feature of the middle term whether syllogism is considered as an inference or as an implication. To

explain our point we shall examine how we can get an instance of a syllogism from its *form*. Consider, for example, the form Barbara which is often stated as the logical law of the transitivity of class inclusion:

(B) $(b)(c)(a)(a \subset b . c \subset a . \supset . c \subset b)$

where 'a', 'b' and 'c' are class-variables. Now to get a concrete example of a syllogism of the form (B), it is usually thought necessary to have specific class-terms for the variables. This may be done in the following way:

(1) $(c)(a)(a \subset M . c \subset a . \supset c \subset M)$ (B), **U.I.**

Syl 1. (2) $(a)(a \subset M . K \subset a . \supset K \subset M)$ 1, **U.I.**

(3) $H \subset M . K \subset H . \supset K \subset M$ 2, **U.I.**

where 'H', 'M' and 'K' are abbreviations of 'the class of men', 'the class of mortals' and 'the class of kings'.

Now Syl 1 (3) can be regarded as a concrete example of Barbara, if we regard a syllogism as an implication. If, however, we want to *infer* 'all kings are mortal' ('$K \subset M$'), then we have to affirm the antecedent of Syl 1 (3) which is a conjunction. This we can do if we take this conjunction as a premise, thus:

(4) $H \subset M . K \subset H$ premise

(5) $K \subset H$ 3, 4 modus ponens.

Now we shall show that it is not necessary to specify the middle term in order to have an example of a syllogism.

(1) the same as (1) of Syl 1.

Syl 2. (2) the same as (2) of Syl 1.

(3) $(\exists a)(a \subset M . K \subset a) \supset (K \subset M)$ 2, by rules of quantification.

Syl 2 (3) in our opinion should be regarded as a concrete example of a syllogism of the form (B). If we now want to infer Syl 1 (5), then we have to assert

(4) $(\exists a)(a \subset M . K \subset a)$

which in our opinion should be the premise of the syllogism and not Syl 1 (4). For now we can have

 (5) K⊂M, 3,4 modus ponens

just as in Syl 1.

It may be noted here that our premise Syl 2 (4) is weaker than the conjunction Syl 1 (4) in the sense that it is implied by, but does not imply, Syl 1 (4). The difference between Syl 1 and Syl 2 is obvious. In Syl 1 we have specific class terms for all the variables of (B), whereas in Syl 2 we have left the middle term unspecified. Now the question is whether Syl 2 should be regarded as a syllogistic inference at all. We give the following reason for regarding it as a syllogism. If we accept the theory that the middle term of a syllogism need not be specified, then we can explain why given the conclusion 'all kings are mortal' we cannot uniquely determine the premises from which it follows, although in this particular case the figure and the mood are uniquely determined. This indeterminacy of the premises (not of the *form* of the premises) is due wholly to the fact that different middle terms can be used to construct premises from which 'all kings are mortal' can be deduced syllogistically. The theory that the conclusion of a syllogism follows only from a conjunction of its so-called premises fails to bring out this essential feature of the middle term. A conclusion can be derived syllogistically even if a conjunction of the premises like Syl 1 (4) is not a premise, for Syl 2 (4) suffices to prove the conclusion (in our opinion syllogistically).

So far we have accepted the theory that a syllogism has one premise (other than the form), but let us now see what happens if we accept the traditional view that a syllogism is an inference with two premises. Now if we are to have *two* premises, then, of course, we must have specific terms in both the premises where no term-variable can occur. Then the question will arise: What it is to 'put them together'? We can now have a conjunction like Syl 1 (4), for its two conjuncts are separately available. So should we not say that, *when the two premises are separately available*, it is their conjunction which is the result of 'putting them together'? Our reply to this question is

that the situation is not at all changed even when we have a specific term functioning as the middle term. For even when we use a specific term as the middle term of a syllogism the special properties of the objects denoted by the middle term are not relevant for the conclusion or for the syllogism. That is, if we know more specifically what the middle term is, even then it is only its relations to the major and the minor terms which are relevant to the syllogism. If we render Syl 2 (4) in ordinary English it becomes 'the class of kings is a subclass of *a class* which is itself a subclass of the class of mortals'. If we prefer the language of predication to the language of classes, we have the judgement 'that of which mortality is predicated (in a certain manner) is itself predicated (in a certain manner) of all kings'. This judgement may be regarded as involving predication of the second order, for that which is predicated of all kings is itself something of which mortality is predicated. Thus the 'putting together' of the two premises of a syllogism is not a mere conjunction of them, but is a complex judgement involving second order predication.

Now we sum up. The form of a syllogism may be conceived either as an implication with universally quantified term-variables, or as a form of inference with two premises 'put together'. In the first case, in order to get a concrete example of a syllogism it is not necessary to have a specific term functioning as the middle term. In the second case, although we must have a specific term as the middle term, yet the specific nature of the middle term is not relevant for the syllogism at all, and this fact should not be ignored when the premises are 'put together'. So the theory that the mere conjunction of the premises is necessary for a syllogism is unsatisfactory in both the cases and for exactly the same reason.

In the above we have tried to present the controversy between the Pūrva-Mīmāṃsā and the Nyāya schools of Indian philosophy on this issue. The philosophers of the Pūrva-Mīmāṃsā school insist that the knowledge of the specific nature of the middle term (*vyāpyatâvacchedaka-prakārakajñānam*) is necessary for syllogistic inference. Against this contention the philosophers of the Nyāya school, specially of the later period beginning from Gaṅgeśa Upādhyáya (circa 13th Century), claim that the

specific nature of the middle term need not be known. The argument given by us in the paper is taken from the Nyāya text of Viśvanātha, circa 17th Century, ([2], pp. 213 ff). We have translated the Nyāya term '*viśiṣṭa-vaiśiṣṭyâvagāhi-buddhi' loosely* by 'judgement involving second order prediction'.

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Psychologism in Indian Logical Theory

J. N. Mohanty

The Indian logical theories, the Nyāya in particular, offer interesting models in the light of which one may hopefully throw new light on some of the persistent problems in philosophy of logic, which are generally discussed within the framework of Western thinking. The new possibilities that they open up could be instructive, at least by way of extending the boundaries of our available models, and we may be able, as a consequence, to see some of the limitations under which discussions in philosophy of logic are carried out. I want to discuss here one such problem: the issue about psychologism in logic.

1.

To begin with the <u>issue</u> of psychologism.[1] How is logic related to psychology? Briefly stated, psychologism is the view that theoretical foundations of logic lie in psychology. If one appeals to the rather commonplace distinction between how one ought to think and how in fact one does think, psychologism insists that ideal, logical thinking is but a species of thinking in general, and so is governed by the same rules that hold good of all thinking. The anti-psychologist philosophers, such as Frege and Husserl, argue, as against psychologism, that it in effect reduces the necessary truths of logic to the inductive, probabilistic laws of psychology; that it confuses between the laws of being-true and the laws that determine taking-something-to-be-true, between the objective entities with which logic

is concerned (such as concepts, propositions, theorems, theories) and the subjective and private events in peoples' minds, and finally that psychology as a science, i.e., as a theory, presupposes logic rather than <u>vice versa</u>. While psychologism is clearly at fault in seeking to derive the laws of logic from the way the human mind works (note that the idea of 'deriving' itself involves the logical principles), the extreme anti-psychologistic position leaves us with an unmitigated Platonism in the strong sense, a domain of abstract entities such as meanings, propositions and theories, sundered, on the one hand, from the mental acts of thinking and understanding which grasp them and, on the other, from the linguistic signs which "express" them. Is there any way to avoid these two alternatives?

The anti-psychologistic philosopher such as Frege is right in his intuition that the entities with which logic deals could not be privately owned, temporally individuated particulars, and that the logical truths are not inductive generalisations. But, it may be pointed out, he has an impoverished conception of mental life. This is certainly true of Frege, for whom the mental is the private particular and the laws about the mental are necessarily inductive generalisations. The question then for us is: why need we restrict ourselves to this impoverished concept of the mental? Is it not possible, given a suitably enriched philosophy of the mind, to give psychologism its due, while preserving the intuitions on which the anti-psychologistic positons are based?

I think that is possible. Indeed, there are several such systems already available. One is the Brentano-Husserl conception of an eidetic psychology. Another is to be found in the Indian logical theories, especially the Nyāya. In any case, what one needs is a conception of the mental according to which a mental event (or act) exemplifies or embodies a universal structure such that two or more numerically distinct mental events may exemplify or embody identically the same structure. In that case, within a mental event, one may distinguish between its particularity (which it shares with none other) and its universal features. Amongst universal features are to be counted not only such generic features as the property of being a belief or the property of being a desire, but also such specific features as 'being a

belief that p' or 'being a desire for a cup of tea'. In brief, what one needs is the conception of a <u>structure</u> of mental acts. Once you have such structures, then one can talk about essential truths about different sorts of mental acts. In that case, a logic of propositions and an eidetic psychology of mental acts in which those propositions are entertained would have a closer relation than the radical anti-psychologism of Frege would like to admit, and yet both that relation and the nature of the relata would preclude one from falling into the obvious errors of psychologism.

In the light of these general remarks, let me now give a brief sketch of the Nyāya concept of (mental)[2] acts. If <u>m</u> is a mental act, it has an owner, i.e. a self, it occurs at a time, it has what Husserl calls an act quality[3] (i.e. it is either a perceptual act or an act of remembering, or an inference, or a desire, or a hope, and so on) and finally it has a structured content (about which I have more to say below). Of course, the act has an object, but the object falls outside the act. What represents the object within the act is the structure. The act m may then be represented as an ordered quadruple [self, t, q, content], where 't' stands for the time of the occurrence and 'q' for the act-quality. Our present concern is with the content.

The content of an act is neither the object of that act (which is, on Nyāya realism, always out there in the world) nor a real constituent of the act (which, in Nyāya ontology, has no parts, and so is formless, <u>nirākāra</u>, if 'form' signifies the structural arrangement of parts). To begin with, let us call it--using a concept handily available in phenomenology--'intentional content.' It is the object not as it is in itself but precisely as it is being presented in the act under consideration. The object out there in the world may remain the same, but for a different act having the same object, the structure of the content may very well change, depending on how precisely that object is presented in the new act. Consider the two perceptual acts expressed in the sentences:

(1) '(This is a) blue jar.' ('<u>nîlo ghatah</u>')
(2) 'The blue (is) of the jar.' ('<u>ghatasya nîlah</u>')

It would appear that whatever is the object out there is not changed by the change of one's perspective. In (1), the primary object is the jar which is being perceived as qualified by the colour blue. In (2), the primary object is the colour blue which is being perceived as belonging to the jar. I will not expound in detail the Nyāya analysis of these structures.[4] It would suffice to note that for the Nyāya such a structure is a concatenation of a whole set of (epistemic) entities, each of which serves a specific function of either qualifying/determining/limiting or being qualified/determined/limited by some other. These peculiar entities are epistemic, for they do not exist in the object <u>per se</u>, they arise only when a cognitive act is directed toward the object. These entities as well as their concatenated structures are, in an important sense, universal-like: another cognitive act may embody precisely the same structure. What the logician has directly to deal with is a cognitive act insofar as it exhibits such a structure. We have then a criterion of identity for acts for the purposes of logical analysis. Two acts $\underline{m}_1$ and $\underline{m}_2$ are 1-identical, if they have the same act-quality and the same structure of their contents. The fact that they occur at different times and/or in different selves, is irrelevant.

At this point, one may wish to argue that the supposedly repeatable structure is nothing other than the proposition of Western logic. Two numerically distinct acts of belief are then 1-identical in so far as they are beliefs in the same proposition. If the structure is nothing but the proposition, and since the proposition is an abstract entity towards which one may take different attitudes, or the same attitude at different times--then a logic of propositions would have to be separated from a psychology of those attitudes. Now to appreciate the nature of the Indian logical theories, it is important to see why the content of a mental act as understood in the Indian logics is not the proposition of Western logic, not at least in one of the senses of 'proposition.' In this sense, which is also the sense in which detaching the proposition from the mental acts may be most persuasively effected, a proposition is that entity towards which many different, numerically as well as qualitatively different, attitudes and acts, belonging to the same or to different selves, may be directed. Now on the Nyāya

analysis of the content of an act, the quality of the act does often make a difference to the content. In the sense of 'proposition' just indicated, the supposition 'S may be P', the question 'Is S P?' the denial 'S is not P' and the affirmation 'S is P' are all directed towards the same proposition. This is not the case in Indian logic, where analysis reveals a different structure in the case of 'Is S P?' than in the case of 'S is not P', and a different structure in the latter than in 'S is P'.[5] But the affirmative categorical 'This mountain has fire' does express the same content, not only when it expresses the cognitions of two different persons, or of the same person at different times, but also when it expresses cognitions of different types: perception, inference, or śabda. This justifies bringing these under one generic group called 'anubhava.' This is not to deny that there are attempts to still more finely individuate the content even across these variations, so that the structure of the content would be different in the case of a śābda knowledge from that in the case of an inferential knowledge, both again different from the structure of a perceptual knowledge. The 'proposition' of Western logic is not as finely individuated across the range of varying propositional attitudes.

There is still another difference between 'proposition' and the 'content' of Indian logic. Proposition is an abstract entity towards which a mental act is directed. Irrespective of how strongly one may want to ascribe to it an ontological status, it is independent of, and transcends that, or in fact any act directed towards it. But the content which one, through reflective analysis, discovers in an act, is that act's structure, not its object, not a transcendent entity.

Let us now see how this applies to the case of an inferential knowledge with which logic is concerned in the first place. This would involve determining in what sense the theory of inference proposed is, or is not, psychological. Consider the following account to be found in the Nyāya treatises on inference:

One sees smoke on a distant mountain. This leads him to remember the rule "Wherever there is smoke, there is fire" which he recollects as having been instantiated in cases such as the familiar stove in the kitchen. He now

recognises the smoke he saw on the mountain as a mark of fire in accordance with the rule he just remembered. At this point, if there is no unexpected hindrance, the person would, as a matter of course, be led to draw the conclusion: "therefore, there is fire on this mountain." This last sentence is an expression of an inferential cognition that has been produced in him.

What we have is a sequence of psychological events: a perception, a remembrance, a recognition, leading finally to an inferential cognition. These events belong to one and the same self, and are individuated both by ownership and temporal position. Now how can any such temporal sequence yield a logical rule? We can do that by (i) replacing the particular person concerned by a variable and making a universal quantification over it; (ii) by retaining appropriate relations of succession, but doing away with the actual temporal positions; (iii) by identifying the cognitions involved by their contents and temporal positions relative to the other cognitions figuring in the rule; and (iv) by requiring that all cognitions figuring in the rule must have one and the same owner. We then get a rule such as the following:

> (3) For any knower S, if S has a perceptual cognition Fx, and then remembers the rule, "Wherever F, there G: as instantiated in the uncontroversial case O", and then perceives in x the same F as before but this time as figuring in the remembered rule "Wherever F, there G", then S will experience an inferential cognition of the form Gx, provided there is no relevant hindrance.

This indeed is as much a law in eidetic psychology as one of epistemic logic of inference. It is arrived at by an intuitive induction over particular cases, it is not a probabilistic inductive generalisation.

Another set of such laws with which the Nyāya logic operates consists of the rules of the form:

> (4) If a cognition of the type θ and with a structure T occurs at time t_n in a self S, then a cognition of the type ψ and with a structure T'

would not occur at time t_{n+1} in $\underline{S}$.

A simple and intuitively clear case of such a law is: if a person perceptually ascertains that -p, he cannot, at the immediately following moment, have a perceptual cognition that p. Or: if a person perceptually ascertains that p, that perceptual cognition will prevent the emergence, at the immediately succeeding moment, of an inferential cognition that -p (even if other conditions for the latter cognition are present).

These rules are further strengthened by bringing into consideration non-cognitive causal conditions such as desire to have a certain sort of knowledge. One cognitive type θ is said to be stronger than another cognitive type ψ, just in case if the causal conditions of both are present the one belonging to the type θ will occur and the one belonging to the type ψ will be prevented from occurring. Thus, if the causal conditions for a perceptual cognition of the fire on yonder mountain are present, as well as conditions for an inferential cognition of the same in the same person, then the perception will occur, preventing the inference from occurring. But suppose, in addition, that there is a desire to infer: presence of this new factor will cause the inferential cognition to occur even if the perception has just occurred. One may infer "There is fire on the mountain" even if one just saw the fire on the mountain top, if only one desired to so infer.[6]

Given such an eidetic psychology of cognitions of which rules such as the above are fundamental principles, one can have a theory of inference which is indifferently a logic and a psychology of inference, but which is not 'psychologistic' in the pejorative sense. But given this formulation of theory of inference, a serious question arises. If the rule formulated in (3) is also a psychological law, then it would seem as though all persons would necessarily make the right sorts of inferences under right conditions, and it would be nearly psychologically impossible to commit a logical fallacy. For if the logical rules of inference are also rules of appropriate cognitive occurrences, then it would be impossible for men, given the psychological constitution that we have, to violate those rules. Now this indeed is the most difficult question for a psychologistic theory of logic to answer. However, let

us try. The place we need to look at is the theory of invalid inference, or what has been called <u>hetvābhāsa</u> (to be construed as either defective <u>hetu</u> or the defects of <u>hetu</u>, <u>hetu</u> being the mark from which an inference is made). The standard definition of a defective <u>hetu</u> which would vitiate the inference in which it functions as <u>hetu</u> and would render it invalid is this: "the object of such knowledge as acts as the preventer of inferential cognition."[7] What is intended is, in brief, this: an inferential cognition of the form "S is P, because of m" would be prevented from occurring if the person under consideration has a knowledge of a situation which is, in fact, a defect of m <u>as a mark</u> of P-ness in S. Consider the obviously fallacious inferential cognition, "This lake possesses fire, because it possesses water." Such an inferential cognition can occur in a person only if he or she believes in the truth of the universal rule "Wherever there is water, there is fire." However, if the person recognises that wherever there is water there is the absence of fire, which amounts to recognising that the <u>hetu</u> or mark is characterised by the defect known as 'viruddha', or that the <u>hetu</u> is a <u>viruddha hetu</u>, then the inferential cognition would be prevented from taking place. This is rather a curious way of putting the matter. Instead of being told that the person made an inference that is fallacious, we are rather told that he or she would not have made the inference if only he or she had known that the <u>hetu</u> that was being employed was defective. One way of understanding all this--the one I prefer, for it meshes well with the account I have developed earlier in this paper--is to take the thesis to imply that as rational beings we cannot make a fallacious inference, we only appear to be doing so. Since the causal conditions of inference require, in accordance with (3), that the person concerned must believe in the <u>appropriate</u> rule "Wherever there is m, there is p", he or she can infer only if there is such a cognitive occurrence in his or her mind, so the inference he or she makes will always be formally valid. Now that he learns that in fact "Wherever there is m, there is -p", this cognition will prevent that other rule-cognition and so eventually the inferential cognition from occurring. The implication of course is clear: even when we are apparently making an invalid inference, we are making it because we not only do not detect the fallacy involved but also because we

are so construing the terms and the premises involved that the inference would turn out to be valid. Since psychologically it is impossible to make a fallacious inference, when we make an inference which by objective criteria is fallacious, what is happening is that we have given the premises and the terms, interpretations under which the logical and the psychological requirements are in fact satisfied. If those interpretations are changed--and this is what happens when the defect in the mark is recognised or pointed out--that inferential cognition would be prevented from recurring.

This is the price one pays for making the psychology of cognitions and the logic of propositions to coincide at least within the limits of elementary inferential operations. There is a concomitant <u>commitment to rationality</u> which rules out the possibility of making such obviously invalid inferences as "All men are mortal, Socrates is a man, therefore, Socrates is not mortal." However one who does make such an inference must be misconstruing the senses of the logical terms "All" and "not".

The thesis is not as improbable as it may look to be at first. Mary Henle has found out, by considering empirical data about errors in syllogistic reasoning by adults, that "where error occurs, it need not involve faulty reasoning, but may be a function of the individual's understanding of the task or the materials presented to him."[8] In another experiment, this time with children, Henle fails to find evidence that thinking transgresses the rules of syllogism.[9] In most cases, the subjects understood the premises in a manner that accounted for the error, while no faulty reasoning process was employed. The implications of her findings, as Henle sees them, are that "the two blind alleys of psychologism and of the radical separation of logic from the study of thinking" have to be avoided. Saying that our actual thinking process exhibits an (implicit) logical structure does not, in her view, amount to psychologism, for it does not make "logic coextensive with thinking by making it illogical. Rather than denying logical requiredness, denying the demands of necessary implication, it seeks to show that such requiredness is central in actual human thinking."[10] Such a conception of actual human thinking, I want to emphasise, is germane to the Indian logical theories, especially the Nyāya which finds the logical in the texture of everyday

actual processes of reasoning. This is done, as we have seen, by construing the mental processes of reasoning as rule-governed patterns of succession of cognitive events (jnānāni), the rules being not empirical generalisations but Brentano-like intuitive inductions.[11]

I would like to add, at the end, that the logical structure of a cognition should not be taken to coincide with the structure of the sentence which expresses that cognition, for one reason amongst others that there always shall be constituents of the cognition--e.g., the mode of presentation (a sla Sibajiban Bhattacharrya = Fregean Sinn)[12] --which cannot be expressed but can only be shown in that sentence. In other words, for an expressed sentential constituent, there necessarily shall be an unexpressed epistemic constituent. This should not be construed as suggesting an ineffability thesis, for what is unexpressed in that sentence can be expressed in another which, on its part, shall have its own unexpressed epistemic content. A given sentential structure does not then provide a clue to eliciting the epistemic structure unless it is aided or rather supplemented by reflective analysis of one's own cognition. Structural analysis and reflection on the inner cognitive events are, ideally, made to supplement each other.

Here we have a possibility which neither Frege nor Husserl, in their eagerness to reject and overcome psychologism, saw; but Husserl was closer to seeing it than Frege.[13]

NOTES

[1.] 'Psychologism' here should be understood in that sense or cluster of senses in which Frege and Husserl used it.

[2.] The acts are not, strictly speaking, mental for the Nyāya; for in the Nyāya ontology mind (manas) acts as an instrumental cause in the production of the acts, while the acts belong not to manas but to the self. Extensionally, though, we may identify the acts as 'mental acts'.

[3.] Cp. E. Husserl, Logical Investigations, vol. II, Investigation 5. E. tr. J.N. Findlay.

[4.] Cp. J.N. Mohanty: 1966, Gangeśa's Theory of Truth, Santiniketan, Introduction; and B.K. Matilal: 1968, The Navya-Nyāya Doctrine of Negation, Harvard University Press, Cambridge, Mass.

[5.] For more on this, cp. Gangeśa's Theory of Truth, Introduction.

[6.] For more on such rules, cp. Sibajiban Bhattacharya, "Some Principles and Concepts of Navya-Nyāya Logic and Ontology," Our Heritage 24.1, 1–16 and 25.1, 17–56.

7. "Anumitipratibandhakavathārtha jñānavisayatvam hetvābhāsatvam" Annambhatta in his Dîpikā on Tarkasamgraha.

8. M. Henle: 1962, 'On the Relation between Logic and Thinking', Psychological Review 69, 366–378, especially p. 373.

9. M. Henle: 1971, 'Of the Scholler of Nature', Social Research 38, 93–107.

10. Ibid., p. 107.

11. For Brentano's concept of eidetic psychology, see R.M. Chisholm: "Brentano's Descriptive Psychology," in The Philosophy of Brentano, ed. Linda McAllister, Humanties Press, Atlantic Highland, New Jersey, 1977, pp. 91–100.

12. Cp. Sibajiban Bhattacharya, loc. cit.

13. Cp. J.N. Mohanty: forthcoming, 'Husserl and Frege on the Overcoming of Psychologism'.

Tarka in the Nyāya Theory of Inference

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As Western scholars have interpreted the writings of the Nyāya school of Indian philosophy we find the Naiyāyikas espousing a doctrine which is false. The position we read into their writing involves a basic error in logic and, since the specialty of the Naiyāyikas was logic, their commission of such an error would be puzzling. The purpose of this paper is to explain the interpretation which has led to difficulty, discuss the nature of the Naiyāyikas' position, and propose a way of interpreting the texts according to which there is nothing logically objectionable in what the Naiyāyikas say.

I. The Nature of *Tarka*

The word *tarka* is used in several ways in Sanskrit. Its most general use is as *reasoning* of any sort, a kind of activity encouraged in some Vedic-period texts and discouraged in others.[1] In the Nyāya school its meaning is more specific. In particular, *tarka* is distinguished from *anumāna* (generally translated as *inference*), a type of reasoning which is described more or less formally by Gautama in the *Nyāyasūtras* (for a discussion of *anumāna* the reader is referred to Karl H. Potter's *Encyclopedia of Indian Philosophy*, vol. ii, Ch. 9.) Tarka has at least two senses in technical Naiyāyika discussions. It is viewed as a conditional (or subjunctive conditional) judgment in which each of the two judgments involved is false – "If water burned when drunk it would burn me too," for example. (Maṇikaṇṭha Miśra dissents from this characterization, arguing that "If the guest were to arrive he would have to

be fed" is an example of *tarka* even if the guest does arrive and is fed.[2] However, the prevailing tradition is represented by Varadarāja's statement that the cause of *tarka* (the antecedent of the conditional) is a mark superimposed on something which does not really have it, and the consequent of the judgment is erroneous.)[3] The second sense of *tarka* in the Nyāya school is reasoning from an original position to an unacceptable conclusion, thereby forcing the giving up of the original position. This sense is the most important – indeed, this sort of *tarka* is singled out by Gautama and his successors for special attention. Typically, reasoning of this sort uses *tarka* of the preceding sort, and we shall see that the Naiyāyikas may not have distinguished them. It is this sense of *tarka* which is the subject of this paper.

To begin with we shall consider what, in English philosophical terminology, *tarka* is. On this point commentators differ. One school of interpretation renders *tarka* as *reductio ad absurdum*. Thus we find Y. V. Athalye writing, "*Tarka – reductio ad absurdum* — requires some explanation."[4] Arthur B. Keith translates *tarka* as *reductio ad absurdum*, although he then notes that there are many varieties of *tarka*, only one of which is called *reductio ad absurdum* (the others seem to involve *reductio* reasoning only in a derivative sense.)[5] In a book devoted entirely to a discussion of *tarka* Sitansusekhar Bagchi translates *tarka* as "reasoning," although in the title of the book he characterizes it as "inductive reasoning" and in the text he writes, "Here as elsewhere reasoning assumes the form of a *reductio ad absurdum*."[6] Another school of thought is represented by Satischandra Vidyabhusana, who characterizes *tarka* as *confutation*, but notes that it may also be rendered as "argumentation, reasoning, hypothetical reasoning, *reductio ad absurdum*, etc."[7] A third approach is represented by S. S. Barlingay's characterization of *tarka* as implication with a premise in contrapositive form.[8] Finally, Karl H. Potter writes: "*Tarka* is sometimes rendered *reductio ad absurdum*, which is not altogether inaccurate, since *tarka* involves proposing a false hypothesis and then by showing it false proving the truth of its negation, or at any rate helping to prove the truth of its negation."[9] Elsewhere in the same work Potter writes,

"*Tarka* arguments are formally similar to 0 [an example of *modus tollens* reasoning], in that the first member is a counterfactual conditional proposition, the second denies the consequent of the conditional, and the conclusion is the denial of its antecedent."[10] Potter seems to hold, then, that *tarka* should be rendered formally as a type of *modus tollens* reasoning, whereas many of the other commentators have in mind a conception of *tarka* as a variety of informal argument.

The reason for the variation in these accounts is not that the commentators have misunderstood the texts, but rather that the texts are not at all precise in their characterization of *tarka*, as opposed to their characterization of *anumāna*. I shall argue that *tarka* was never considered a formalized pattern of reasoning by the Naiyāyikas. Certainly Gautama's definition is informal enough: "Tarka is causal reasoning about a thing whose nature is not known in order to know its nature."[11] Vātsyāyana's commentary on this passage provides the following example of *tarka* reasoning, following a doubt about whether knowers are originated or whether they have always existed:[12]

> Pain, birth, activity, defects, and wrong knowledge; each of these is the cause of what precedes it, and in the destruction of the latter each former thing disappears. This is liberation and in this way both transmigration and liberation occur. This would not be the case if the knower were originated. Indeed, an originated knower would be joined with a body, senses, intellect, and consciousness, but this would not be the result of actions performed by him [which is impossible, according to the theory of karma]. Furthermore, a thing which is originated does not abide [forever]. But there is no enjoyment of the fruit of one's own actions on the part of one who does not exist or who has been destroyed [the two options just considered] and thus there would be no connection of the single knower with many bodies nor eternal liberation from the body.

This concludes the argument. Vātsyāyana then goes on to say:

> Where one sees that the cause is not established, he does not accept it. So the definition is given [by Gautama]: "Tarka is reasoning [ūha]."

Succeeding accounts of *tarka* are similarly informal until the time of Varadarāja, who writes:[13]

> Through knowledge of its true natue [*tarka*] is declared to be endowed with five members: 1. pervasion, 2. not being countered by a *tarka*, 3. coming to a stop in error, 4. being unwished-for and 5. unfavorableness.

One's first impression is that this passage provides us with a formal account of *tarka* parallel to Gautama's account of *anumāna* as a five-membered inference pattern, but appearances are misleading. Let us consider a naive rendering of the five "members" in the predicate calculus:

T1
1 $(x)(Px \supset Qx)$ ("anything which is P is Q")
2 Qa ("a is Q")
3 $\sim Qa$ ("a is not Q")
therefore, $\sim Pa$ ("a is not P")

I have rendered (1) as a relation between properties rather than sentences because Varadarāja speaks of one property's being pervaded by another (i.e., having the other occur wherever it does). I have also left out the second "member" since it is a condition on soundness rather than a formal component of the inference. But T1 as it stands is unsatisfactory because each of the first three steps has the status of a premise and in this form the argument is too strong. (Anything follows from contradictory premises in the predicate calculus, and the second and third premises contradict.) By removing the second step we derive an argument of this form:

T2
1 $(x)(Px \subset Qx)$
2 $\sim Qa$
therefore, $\sim Pa$

The reader will recognize T2 as a variety of *modus tollens* reasoning, leading one to suggest it as a plausible rendering of Varadarāja's remarks. The case for T2 as the proper rendering is strengthened by consideration of the examples of *tarka* Varadarāja gives in his autocommentary on the five-membered version of *tarka.* Most of them consist of a single line of the form of (1) and one of them involves a statement of that form and a statement of the form of (2). None of them involve more formal complexity than this. Varadarāja's specimens of *tarka* reasoning include these:[14] "If drinking water did not satisfy the thirsty, then water would not be drunk by the thirsty," "If water which was drunk burned inside then it would burn me too, being no different," and, in a case of looking at bare ground and doubting one's eyes, "If there were a pot it would be seen, as the ground is, because of its connection with the ground in similar instances of perception. But it is not seen." A logician concerned with stating a new form of reasoning would not surround his statement with examples which failed to conform to it. Hence the view supported by the texts would seem to be that Varadarāja's treatment is intended to be informal, but if a formal version had to be given, it would be T2. Furthermore, such a treatment of *tarka* is compatible with the remarks of the other commentators cited earlier, since *modus tollens* may be viewed as a type of *reductio ad absurdum* and the other characterizations of *tarka* cited earlier are descriptive of both sorts of reasoning.

Against all this I wish to propose a different formalization, one which involves adding a line rather than deleting one. In particular, I wish to argue that Varadarāja has omitted a line which we would normally consider part of the *tarka* process when he listed its members, although he did conceive of that line as a member, in a sense to be specified directly. The interpretation I am proposing is as follows:

T3 1 Pa assumed

 2 $(x)\,(Px \supset Qx)$ premise

 3 Qa

 4 $\sim Qa$ premise

therefore, ~*Pa*

T3 is the formal representation of *reductio ad absurdum* – reasoning from a hypothesis to a contradiction and then to the rejection of the hypothesis. Given that Varadarāja does not list (1) as a member of *tarka* and given that his examples never display the prolixity of T3, why do I propose it as the proper rendering of *tarka*?

For two reasons. First, it seems clear that the Naiyāyikas had (1) in mind in their conception of *tarka*. Consider Udayana's definition of *tarka*, "*tarka* is giving scope to an undesired pervader by agreeing with the pervaded."[15] The point made here is that *tarka* involves an assumption of the antecedent of the conditional – an assumption which I include as (1). A second reason for adding a step rather than deleting one is that Varadarāja's account is not represented by T1 or T2 in another way. Line (2) of T1 is to be "coming to a stop in error," but T1 as it stands does not occur by coming to a stop since in T1 the relevant member is a premise rather than a conclusion and in T2 it is omitted altogether. By adding the first line of T3 the erroneous statement is gotten to by coming to a stop – it is inferred from the first two lines.

Why, then, don't we find the extra step when we are given a paradigm example of *tarka*? Because of the pragmatics of *tarka* use in the Nyāya theory. *Tarka* was involved when a doubt arose concerning the truth of a judgment arrived at by means of a *pramāṇa* (see the following sections for a discussion of *pramāṇas*). In reasoning, *tarka* was used to test one's own assumptions or conclusions or to test those of an opponent. Thus the first step of *tarka* has already occurred when *tarka* begins, and it has occurred as a part of a different process. This fact does not prevent *tarka* from being a part of the formalization in a Western system, but there is, I believe, an ontological assumption made by the Naiyāyikas which militates against such an approach. To allow parts of *tarka* to be members of two different sorts of mental acts would be to allow that there are wholes which overlap partially; that is, it would be to allow that there are wholes neither of which is contained completely in the other and which contain a common part. Although I know of no passages which pronounce clearly on the point, the

Nyāya theory of parts and wholes seems to have been like the theory of *jātis* – no overlapping relationships were permitted, (I am not claiming that this was a conscious or a formal reason for Varadarāja's omission of (1) as a step in the argument, only that it may have been a psychological one.)

At this point a few remarks about the status of the various formalizations we have considered are in order. Varadarāja was not proposing a formal account in his description of the five members of *tarka*. One indication of this is the fact that his second member is not a formal component of the argument, but rather a requirement on the soundness of the conditional judgment. Another is that *tarka* itself was not considered a valid form of argument *per se*, but rather a type of inference which, in Western terms, combines soundness and validity. Varadarāja wrote, "Given a defect in any of the members there would result the mere appearance of a *tarka*."[16] This passage is followed by examples of reasoning which are like the other examples of *tarka* except that they are based on false pervasions. In such examples Varadarāja writes that a *tarka* is nonexistent.[17] In the Western sense a formal argument is a pattern of inference which must yield a true conclusion when its premises are true, even if its premises do not happen to be true at the present time or in the world as it happens to be. In the Naiyāyika theory of inference *anumāna* and *tarka* are types of inferences which have true premises and a true conclusion. The defining characteristic of a valid inference form – that, given true premises of a certain form the conclusion *must* follow – does not seem to be given in the Naiyāyika texts. (One searches in vain for examples of inferences with false members which are described in terms suggesting the concept of validity.) What we have translated as formal inference patterns – *anumāna* and *tarka* – seem better understood as reasonings which combine soundness and validity, without these two features being explicitly distinguished.

Why didn't the Naiyāyikas arrive at a conception of formal validity? Because the vehicles of inference for them were different from those of the Western logician. For the Naiyāyika an inference is a series of *jñānas* – qualities of the self – rather than a series of sentences or propositions. A formal description does not arise as easily for mental occurrents as it does

for sentences, where the logical operators may be isolated and described. Hence the explanation for Varadarāja's non-formal account: He was giving a phenomenological account of *tarka* rather than a formal account. His examples were not intended to be read as sentences which together constituted the inferences. Rather they were to be taken as sentences descriptive of the mental states which were the inferences.

Thinking of matters in this way we arrive at the reason for the ambivalence between the two technical senses of *tarka* I referred to earlier: *tarka* in the first sense was a conditional judgment. *Tarka* in the second sense was a type of reasoning from one judgment, ending in a second, and causing the rejection of the first. Varadarāja (as opposed to Maṇikaṇṭha Miśra) was able to identify these two senses because everything occurring in an instance of the second type takes place in an instance of the first. To undergo a conditional judgment, in the sort of situation described by the Naiyāyikas as leading to an occurrence of *tarka* reasoning, is to entertain a judgment, move through a pervasion to a second which, as it is entertained, is felt to be false, and, still being entertained, causes a feeling of rejection of the first. Thus, phenomenologically, the Naiyāyikas identified the two senses of *tarka* and, since there is no formal account of *tarka* in the Nyāya literature, I conclude that *tarka*, as conceived of by the Naiyāyikas, was an informal variety of inference.

These considerations do not disallow us from attempting to describe *tarka* in formal terms, just as we are not disallowed from giving formal renderings of informal inference patterns in English. We must be aware that we are not giving an account in the terms of logicians who study it as an informal inference type, and we must be aware that we are isolating the components of the reasoning and describing them in sentence form, whether they be sentential in nature (as in the pervasion step) or affective in nature (as in the unwished-for step).

By now my justification for rendering *tarka* as T3 should be clear. The Naiyāyikas speak of assuming the antecedent, arriving at the consequent, seeing that the consequent is unacceptable, and rejecting the antecedent. Further, each of these aspects of *tarka* is mentioned in discussions of its

nature. The conclusion to draw is that each of these aspects is to be represented when *tarka* is formalized.

I wish to stress the natue of the point I have made since I shall argue in a similar way in the last section of this paper: It may well be that the Naiyāyikas did not regard all the members of T3 as separable from the conditional judgment involved in *tarka*. This creates no difficulty as long as it is realized that an account of the phenomenology of inference and a formalization of inference are not the same. Further, it may well be that the Naiyāyikas did not regard the initial step of T3 as part of *tarka*. If so, this demonstrates that their canons for determining members of inference patterns differ from Western ones. The initial step occurs as part of the process, its use is explicitly acknowledged by the Naiyāyikas, and its effects are discussed when *tarka* is discussed. *In a Western sense* the first step is a part of the pattern, even if it is not according to the Nyāya theory, and it is a Western version of *tarka* which I am attempting to derive here, based on what the Naiyāyikas have said.

II. The Problem with *Tarka*

In the Nyāya scheme of things the class of judgments (*jñānas*) contains these two subclasses: the set of *pramā jñānas* and the set of *apramā jñānas*. These terms are generally rendered into English as the set of true judgments (or knowledges, depending on the translator) and the set of untrue judgments (or knowledges). True judgments arise from one of four types of *jñānas* – perception (*pratyakṣa*), inference (*anumāna*), comparison (*upamāna*), and verbal testimony (*śabda*). The untrue judgments include doubt, error, and *tarka*.[18] According to this classification of things we find the Naiyāyikas in the unenviable position of asserting that *reductio ad absurdum* does not yield a true judgment. But *reductio* (or *modus tollens* – the problem arises for any of the formal renderings of *tarka*) is a valid inference form – if its premises are true its conclusion must be true as well. Varadarāja, at least, has asserted that the premises (2) and (4) of (T3) must be true. Why, then, do

the Naiyāyikas assert that a valid argument with true premises does not produce a true judgment as a conclusion? Even worse, why do they do so in the face of schools of Indian philosophy which do allow it the status of a *pramāṇa* – the Jains and the followers of Rāmānuja and Madhva, for instance? Let us consider their arguments for this position.

(1) From Gautama on the Naiyāyikas regarded *tarka* as a facilitator of the *pramāṇas* rather than as a *pramāṇa* itself,[19] and it may seem plausible to think that *tarka* is not a *pramāṇa* for the same reason that memory (*smṛti*) is not a *pramāṇa*: it does not give us any *new* knowledge. Among the Vaiśeṣika writers (and some of the Nyāya writers) memory is not a *pramāṇa* because, as Śrīdhara writes, "*Smṛti* always grasps objects which have been known previously by other means, and it is that other means which determines whether the judgment is valid or not."[20] *Tarka*, when used in reasoning for oneself, has a similar function. One perceives that there is no pot on the ground, acquiring knowledge through the *pramāṇa* of perception. One doubts the correctness of the knowledge – could there be an unperceived pot here? One resolves the doubt through *tarka*, concluding that there is no pot on the ground – a conclusion already established through perception.

This line of argument will not work for *tarka* employed against others. When an opponent asserts a position and one refutes it with *tarka* reasoning the conclusion may not be new for oneself, but it is certainly new for the opponent. In such (common) circumstances *tarka* does not seem to facilitate another *pramāṇa*. Instead it causes the opponent to be aware of a new truth. Varadarāja's characterization of *tarka* as issuing in the unacceptability of the first step shows that this conclusion is obtained through *tarka*, and clearly, this unacceptability was not previously recognized by the opponent. Hence this line of argument will not disallow *tarka's* status as a means to truth.

(2) Some of the Naiyāyikas classify *tarka* as a kind of doubt and some don't – Udayana for example[21] Aparārka asserts that indefinite knowledge (*anadhyavasāya*), imagination (*ūha*), and *tarka* are all members of the category of doubt (*saṃśaya*).[22] One can understand how such a classification might arise. According to the Naiyāyikas a doubt is a *jñāna* in which a

subject is considered as possessing two incompatible properties, and it is not known which one (if either) the subject really has. In T3 the assumption is considered at the beginning and (as mentioned above) the *tarka* argument is proposed as a test of it. In the case of *tarka* used for oneself it is not known at the beginning whether the assumption is correct or whether its negation is correct. This fact in itself, however, is not sufficient to account for *tarka's* being rendered as a species of *doubt*, since the conclusion of a *tarka* is not doubted. It might be proposed that doubt arises at the end of the *tarka* argument because the first premise has been established by one argument and the conclusion – the negation of the first premise – has been established by another, creating doubt. But this doubt is not *necessarily* a feature of the argument and in fact many disputants who work through an argument in the *anumāna* form experience doubt, leading them to the use of *tarka*. This fact disqualifies neither type of argument from the status of a *pramāṇa*. The classification of *tarka* as a sort of doubt I believe to arise by default after *tarka* has been disallowed as a *pramāṇa* for other reasons.

(3) The members of *tarka* as represented in T3 include the assumption of a false judgment and the derivation of another, leading Udayana to classify *tarka* as a species of error.[23] In considering the objection that *tarka* cannot facilitate the *pramāṇas* (much less be one) because it involves error, Varadarāja concedes the objection concerning error and defends *tarka* on pragmatic grounds, citing a prior view that the unwished-for result of *tarka* can cut off one's desire to believe a false position, aiding the *pramāṇas* in their work. These remarks are not liable to sway a Western logician because the offending members of T3 are (1) and (3), an assumption and a conclusion derived under an assumption, rather than premises in themselves. If the *premises* of T3 are true the conclusion follows, and there is no further trouble about it – so says the Western logician. The Nyāya ontology did not contain a place for assumed *jñānas*, however, and this understanding of *tarka* would not be open to them without an alteration of their classification of existents.

The reader is referred to Bagchi's book on *tarka*[24] for a series of arguments against allowing the status of a *jñāna* to hypothetical reasoning,

but such passages do not seem to me to be convincing. What underlies the discussion is a sort of contamination theory of judgment according to which falsehood in a part of a judgment flaws the whole. I believe there are good psychological reasons for such a position. According to the *sūtras* the purpose of studying Nyāya is to achieve salvation through understanding things as they are. *Tarka* involves understanding things as they are not, and the consciousness of the user of *tarka* undergoes false *jñānas* when *tarka* is employed. A concern for the purity of consciousness could lead philosophers to distinguish those means to truth which do not involve false judgments from those which do. My view is that this concern motivated many of the Naiyāyikas to disallow *tarka* as a *pramāṇa*. Nonetheless we must note that *tarka* is used more frequently than *anumāna* in Naiyāyika disputation and that its results are accepted and employed in subsequent discourse. I have mentioned previously that the Naiyāyikas require sound premises in order for an inference to count as a case of *anumāna* or *tarka*. Now let us note a related fact, that the parts of each step of an inference must be true in order for it to count as a *pramāṇa*.

(4) Another line of argument in the Nyāya texts disallows *tarka* as a *pramāṇa* because it does not yield the sort of result which a *pramāṇa* yields. Correct employment of a *pramāṇa* yields understanding of things as they are, while correct employment of *tarka* does not. Uddyotakara's comments on this point are typical. In describing the difference between *tarka* and ascertainment he wrote that in the latter the result is a detailed understanding of something, while the result of *tarka* is only that something ought to be the conclusion.[25] Said another way, this point is that the result of the *pramāṇas* is a state of accepting and an understanding of what is to be accepted. From *tarka* one derives a negative conclusion – a psychological state of rejection – connected to an understanding of something. This line of argument will not persuade the Western logician, since negative conclusions may be as true as positive ones, and it is truth which counts in Western logic rather than the nature of one's understanding of that truth.

There is an interesting difference between the Nyāya theory of inference and the formal logic of the West on this point. As noted earlier, the Nyāya

theory takes an inference to be a succession of *jñānas* – qualities of the self – while the Western view takes an inference to be a series of sentences or propositions (depending on one's orientation), either of which are qualities of the self. According to the Nyāya view, put crudely but, I hope, not misleadingly for present purposes, knowledge of things as they are is a mental state which involves constituents and relations corresponding to an external object. The result of *tarka* reasoning is more complicated, being a state with constituents and relations which are unlike the object of the state, together with a feeling of rejection. This sort of state is not adequately described by a negative declarative sentence of the ordinary sort since according to the Naiyāyikas negative declarative sentences represent *jñānas* containing *absences.* The sentence "There is no pot on the ground" represents a mental state including the component *absence-of-pot.* This is the typical Naiyāyika treatment of negation, but this treatment is not given to the conclusion of *tarka* reasoning, a *jñāna* which shows what ought to be ascertained but does not in itself constitute ascertainment. Here the Naiyāyika has drawn a distinction where a Western logician does not, between a negative judgment which is a rejection of a false judgment and a judgment which includes a negative component. Such a distinction *can* be drawn in Western terminology – I have just drawn it – but it is not necessary to draw it in order to assess the validity of an argument form, and validity is a prime concern of Western logicians, together with the determination of truth values. The primary concern of the Naiyāyikas lay in acquiring a state of mind which represented reality through a kind of isomorphism, and the truth of a judgment (in Western terms) was not as important as the relation between the judgment and reality which constitutes its truth.

III. A Solution to the Problem

The Naiyāyikas believed that *tarka* is not a *pramāṇa.* I have argued that *tarka* is best represented in Western terms as *reductio ad absurdum.* It is

customary to translate *pramāṇa* as "means to truth," or something similar. In so doing we arrive at the problem discussed in the previous section, "Why didn't the Naiyāyikas think that *reductio ad absurdum* is a means to truth?" Of the many responses to this question, let us consider three common ones. A person might contend that the Naiyāyikas were simply wrong and that we should regard their position as a curiosity produced by a school of logicians lacking a conception of formal validity. Or one might hold that the Naiyāyikas experienced deeper insights into the nature of things than we do, that they have discovered a sort of truth which Western logicians are unaware of, involving actual perception of things as they are and leading to a rejection of means to lesser truths. Or one might hold that the Naiyāyika scheme of things is obviously so alien to the Western scheme that attempts to explain the one in terms of the other are best avoided.

My own position is different from these but, arising as it does from belief in the non-extraordinary but quite competent abilities of the Naiyāyikas as students of human reasoning, together with belief in the ultimate communicability of philosophical schemes between languages and cultures, it may not be acceptable to proponents of the views I have already outlined. In these matters one must choose one's own methodology and operate according to it. In my view one arrives at a rendering of a position formulated in a different language by postulating equivalents between words of the two languages and testing the result for sequences of arguments and discussions of them. This process – seized upon for criticism in another context by Quine[26] and singled out for discussion by hermeneuticists – is the only way we have to represent the positions of the Naiyāyikas to Western philosophers. The problem which has arisen concerning *tarka* is evidence that the connections which have been established between the Sanskrit terms we have discussed and their proposed English equivalents require some modification. Let us consider two such modifications and their results:[27]

(1) The translation of *pramāṇa* as "means to truth" is misleading in that the Naiyāyikas intend it to exclude some procedures which are clearly means to truth – *tarka*, for instance. The arguments are explicit on this

point: to be a *pramāṇa* is to be a special means to truth, such that no false judgment is entertained while the means is being employed, and such that the result is a knowledge of the true nature of things rather than, e.g. a rejection of a false view of the nature of things. (Deriving from this modification would be the understanding of *pramā* as knowledge of the nature of things or such knowledge gained without the consideration of false judgments.)

(2) The translation of *anumāna* as "inference" is similarly misleading. It is commonly held that the Naiyāyikas employed only one type of inference – *anumāna*. It should be clear enough from what has been said that *tarka*, too, was a type of inference, in Western terms. It was distinguished from *anumāna* but it played the role an inference plays in reasoning and its nature was characterized (although not formally) by Varadarāja. The conclusion to draw from these facts is that "inference" is not the best translation of *anumāna*. Instead one should read *anumāna* as "inference of a certain form comprised of judgments none of which are untrue". This alteration will have consequences for our reading of *pramā*, which will no longer be translated as "truth" but as "truth which involves things as they are."

In making these alterations the connections between the Sanskrit and English technical terms have been altered in an interesting way. I am suggesting that we acknowledge a difference in concern between the Naiyāyikas and the Western logicians. The concerns of the Naiyāyikas were of a spiritual sort – the purity of consciousness and the absolute liberation of the self – and this led them to make distinctions between types of inferences and types of understandings of truths which are not typically made in the West. The concern of the Western logician is for formal validity and truth-conditions. This leads a Western logician to concentrate on those aspects of reasoning and leave aside considerations of the nature of our conceptions of truth. This does not mean that the distinctions cannot be made (proof lies in the body of this paper). It does not mean that the Naiyāyikas were poor logicians – it is our preliminary correlation of technical terms which produces this impression. And so far I have not presented any argument to

the effect that the Naiyāyikas were philosophers of greater metaphysical insight than Western philosophers. As a result the conclusions of this paper may seem unappealing. I have recommended the introduction of a good deal of verbosity in rendering Nyāya texts and I have done away with some fascinating (but wrong) position in the area of philosophy of logic. Nevertheless I urge the consideration of these proposals by the reader, for they seem to me to yield fairer renderings of the Nyāya positions and their adoption will have interesting consequences for our understanding of many other aspects of Nyāya – the controversy over the nature of *pramāṇas*, for one.

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NOTES

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[1] See S. C. Vidyabhusana's *A History of Indian Logic*, Motilal Banarsidass, 1971, pp. 36–39 for an account of the status of logic (*ānvīkṣikī*) in Vedic times. Citations of anti-logical attitudes given by Vidyabhusana include warnings to Vedantins against divulging their doctrines to logicians and a tale in the Mahābhārata of a Brahman who carried on debates without adhering to the Vedic faith and became a jackal in his subsequent life. Vidyabhusana also cites cases of penalties inflicted on logicians and ridicule of Gautama as "Gotama," "the most bovine" – a Sanskrit pun. Pro-logical passages cited include the endorsement of logic when it does not conflict with the Vedas or the laws of Manu and a variety of attestations to the utility of the discipline of logic, culminating in the according of formal status to Nyāya as an orthodox *darśana* after the time of Gautama.

[2] *Nyāyaratna* of Maṇikaṇṭha Miśra, E20–26, as summarized by V. Varadachari (reference follows that in Potter's *Indian Metaphysics and Epistemology*.)

[3] *Tarkasya viṣayakāraṇaprayojanāni darśayati. Asyāvijñātatattvo arthaḥ sandigdho viṣayo mataḥ heturāropitaṁ liṅgaṁ phalaṁ tattvārthanirṇayaḥ.* Varadarāja's *Tārkikarakṣā* I.73 and autocommentary, p. 190 in V. P. Dvivedin, (ed.), reprinted in *The Pandit*, 1903.

[4] *Tarka-Saṁgraha* of Annambhatta, edited and commented on by Y. V. Athalye, Bombay Sanskrit Series, 1930, p. 356. Athalye goes on to provide some additional remarks as to what *tarka* is and isn't.

[5] *Indian Logic and Atomism*, Arthur B. Keith, Oxford Clarendon Press, 1921, pp. 60–62.

6 *Inductive Reasoning: A Study of Tarka and its Role in Indian Logic*, Sitansusekhar Bagchi, Calcutta Oriental Press, Calcutta, 1953. See p. 4, p. 7, and occasional references throughout the book.

7 *A History of Indian Logic*, p. 61.

8 *A Modern Introduction to Indian Logic*, S. S. Barlingay, National Publishing House, Delhi, 1965, p. 126. See also the fuller discussion in pp. 119–128. According to Barlingay the "real form" of *tarka* is "If not-*q* then not-*p*" but I do not agree with this interpretation. Certainly the examples we are given do not have this form, although one might be able to construe them in this way using logical equivalence as a criterion.

9 *Indian Metaphysics and Epistemology: The Tradition of Nyāya-Vaiśeṣika up to Gaṅgeśa*, Karl H. Potter, (ed.), Princeton University Press, 1977, p. 203. (See also p. 178). This invaluable volume is the second volume of Potter's *Encyclopedia of Indian Philosophies*.

10 Ibid., p. 108.

11 *Avijñātatattve arthe kāraṇopapattita stattvajñānārtham ūhas tarkaḥ*, in Gautama's *Nyāya Sūtras* 1.1.40.

12 *Duhkhajanmapravṛttidoṣamithyājñānānām uttaramuttaraṁ pūrvasya pūrvasya kāraṇam, uttarottarāpāye ca tadanantarābhāvādapavarga iti syātām saṁsārāpavargau. Utpattidharmake jñātari punarhna syātām. Utpannaḥ khalu jñātā dehendriyaviṣayabuddhi-vedanābhiḥ sambadhyata iti nāsyedaṁ svakṛtasya karmaṇaḥ phalam. Utpannaśca bhūtvā na bhavatīti, tasyāvidyamānasya niruddhasya vā svakṛtakarmaṇaḥ phalopabhogo nāsti, tadevamekasyānekaśarīrayogaḥ śarīraviyogaścātyantaṁ na syāditi, yatra kāraṇamanupadpadyamānaṁ paśyati, tannānujānāti. So ayamevaṁlakṣaṇa ūhastarka ityucyate.*

From Vātsyāyana's *NyāyaBhāṣya* on *NyāyaSūtra* 1.1.40, in *Nyāyadarśana of Gautama*, Anantalal Thakur, (ed.), Mithila Institute, Darbhanga, 1967, p. 581.

The translation is mine. In the case of the passage "*Utpannaśca bhūtvā na bhavatīti*" I have followed N. S. Junankar in his *Gautama: the Nyāya Philosophy* (Motilal Banarsidass, Delhi, 1978). Whatever one's rendering of this phrase, it will not affect the point being made by citation of the passage.

I have not translated "*viṣaya*" in the compound "*dehendriyaviṣayabuddhivedanābhiḥ*" following the editor's suggestion that it may be an incorrect interpolation. This, too, does not affect the point the passage is being used to make.

13 *Aṅgapañcakasampannastattvajñānāya kalpate. … Vyāptistarkāpratihatiravasānaṁ viparyaye. Tārkikarakṣā* 1.71–72, pp. 186–7.

14 Ibid., pp. 185–204. These are the examples quoted: *Yathā yadyudakaṁ pītaṁ pipāsāṁ na śamayettarhi pipāsunā na pīyeta*, autocommentary on I.70, p. 185; *Yadyudakaṁ pītaṁ paramantaradhakṣyattadaviśiṣṭaṁ māmapi dahet*, autocommentary on I.70, pp. 185–6; … *iha bhūtale ghaṭo nāstīti bhūtalavadghaṭābhāve pi pravartamāna yadyabhaviṁyatghaṭo bhūtalamivādrakṣyattasya tena saha tulyadarśana-yogyatvāt*, autocommentary on 1.75, pp. 200–201.

15 *Vyāpyāngīkāreṇāniṣṭavyāpakaprasañjanaṃ tarka iti*, Udayana's (or Śivāditya's – the point has been disputed) *Lakṣaṇamālā*. The definition is quoted by Varadarāja in the autocommentary on the *Tārkikarakṣā*, p. 191.

16 *Aṅgānyatamavaikalye tarkasyābhāsatā bhavet, Tārkikarakṣā* I.73, p. 188.

17 *Ukteṣvaṅgeṣvanyatamasyābhāve tarka ābhāso bhavati*, autocommentary on the *Tārkikarakṣā* I.73, p. 188.

18 The classification is taken from Satischandra Chatterjee, as presented in Potter's *Indian Metaphysics and Epistemology*. It does not represent the position of every Naiyāyika, but the classifications relevant to this paper – especially that of *tarka* as a non-*pramāṇa* – were universally adhered to within the school.

19 See fn. 11. The position is reiterated in subsequent texts. Varadarāja, for example, writes *Pratyakṣādeḥ pramāṇasya tarkonugrāhako bhavet.* (Tārkikarakṣā I.74, p. 193). See the subsequent commentary for a discussion of the manner in which it does the facilitating.

20 *Nyāyakandalī* on the *Padārthadharmasaṃgraha*, by Śrīdhara, Durgodhara Jha Sarma, (ed.), p. 627.

21 In the *Kiraṇāvalī* II.91–93 Udayana classes *tarka* as a variety of error (*viparyaya*) instead of a type of doubt. But his reason is that error is due to the apprehension of a different property in a given locus (II.95, as summarized by Bimal K. Matilal in *Indian Metaphysics and Epistemology*.)

22 In Aparārka's *Nyāyamuktāvalī*, commenting on Bhāsarvajña's *Nyāyasāra*, section 4 (as summarized by S. S. Sastri in *Indian Metaphysics and Epistemology*.)

23 See fn. 21.

24 *Inductive Reasoning*, Ch. IV.

25 Uddyotakara's *Nyāyavārttika*, I.40.

26 Chapter II of *Word and Object*, Willard van Orman Quine, M.I.T. Press, Cambridge, Mass. There Quine sets forth his doctrine of the "radical indeterminacy of translation," the consequence of which would seem to be that a "best" translation of the sort I have aimed at in the text, cannot be settled on.

27 S. S. Barlingay attempts to solve the problems raised in this paper in a fashion methodologically similar to the way I have attacked them in *A Modern Introduction to Indian Logic*, pp. 121–128, but his conclusions are different.

Anekānta: both yes and no?

Bimal Krishna Matilal

I

A metaphysical thesis, in the context of classical Indian philosophy at least, usually (more often than not) takes the form of such a proposition as 'Everything is *F*' or 'Nothing is *F*'. Philosophical rivalry springs from the varieties of such proposed positions, that is, varieties of such *F*s. For example, the Advaita Vedānta says, 'Everything is Brahman', the Mādhyamika, 'Everything is empty of its own-being or own-nature', and the Yogācāra, 'Everything is a *vijñāpti* making of consciousness'. We may add to the list even such positions as 'Everything is non-soul, impermanent and suffering' (the Buddhist in general), and 'Everything is knowable and namable' (the Nyāya-Vaiśeṣika). If we have to add the Jainas to the list, then we can say that their position is: Everything is 'non-one-sided' *anekānta*. However, I shall argue that at least on one standard interpretation, the Jaina thesis is held at a slightly different level; if the others are called metaphysical, this one may be called meta-metaphysical. The sense of it will be clear later on. I do not wish to claim this to be the 'one-upmanship' of the Jainas. The claim here is a modest one; it harks back to the historical origin of the position.

It is rather hard to see how such metaphysical theses as illustrated above, in the form of 'Everything is *F*', can be proven in a straightforward manner. They are often presuppositions, sometimes accepted as an axiom of a system. The argument, if there is any, must be indirect or *reductio-ad-absurdum*, it is persuasive and suggestive. It may be pointed out at this stage that according

to the later Nyāya school any argument that has a conclusion (a thesis) of the form 'Everything is *F*', is fallacious, because it would be inconclusive. To use their technical vocabulary, the inferred conclusion of the form 'Everything is *F*' (where 'Everything' is the subject term, playing the role of a *pakṣa*), is faulty because it suffers from the defect called *anupasaṃhārin.* Such a defect occurs when and only when the *pakṣa* (the subject locus) is *kevalānvayin* which corresponds to a universal class. Strictly speaking, we should say that the property that qualifies the subject locus here, that makes it what it is, a subject-locus, is a universal (or everpresent) property. Such being the case, we cannot *compare* or *contrast* it with anything else. The Indian theory of inference, on the other hand, depends essentially upon the possibility of such comparison (by the citation of a *sapakṣa*) and contrast (by the citation of a *vipakṣa*). This does not make the Indian or the Nyāya theory a theory of inference based upon analogy. It only certifies its empirical, that is its non-*a priori*, character. Proving something to be the case here means to make it intelligible and acceptable by showing how, (1) it is similar to other known cases and (2) what it differs from and in what way. This demand on the proof is much stricter than usual. Otherwise, the Indians will say that something may actually be the case but it cannot be claimed or established as such. Hence the inconclusiveness (*anaikāntika*) of the said type of inferences was regarded as a defect, a *hetvābhāsa*.

A metaphysical thesis was usually expressed in the canonical literature of Buddhism and Jainism in the form of a question 'Is *A B*?' 'Is everything *F*?', to which an answer was demanded: either yes or no. If yes, the thesis was put forward as an assertion, that is, the proposed position '*A* is *B*' or 'Everything is *F*' was claimed to be true. If no, it was denied, that is, it was claimed as false. Therefore, 'yes' and 'no' were substitutes for the truth-values, true and false. The Buddhist canons describe such questions as *ekāṃśa-vyākaraṇiya*, those that can be answered by a direct yes or no. However, both the Buddha and the Mahāvīra said that they were followers of a different method or style in answering questions. They were, to be sure, *vibhajya-vādin*, for they had to analyse the significance or the implications

of the questions in order to reach a satisfactory answer. For, it may be that not everything is *F*, although it may not be true that nothing is *F*.

The followers of the Mahāvīra developed their doctrine of *anekānta* from this clue found in the canonical literature. This is the clue of *vibhajya-vāda*, which originally meant, in both the Buddhist and Jain canons, a sort of openness—lack of dogmatic adherence to any viewpoint exclusively. The philosophy of Jainism has been called 'Non-dogmatism' or 'Non-absolutism'. I prefer the literal rendering 'non-onesidedness', for it seems to retain the freedom of the interpreter as well as its open-endedness.

A metaphysical puzzle seems to have started in the early period in India (as it did in Greece too) with a dichotomy of basic predicates or concepts such as, being and non-being, permanence and change, is and is-not, substance and modes, identity and difference. Although the five pairs just cited are not strictly synonymous, they are nevertheless comparable and often interchangeable depending, of course, upon the context. The first of these pairs used to be captured by a common denominator, *à la* the Buddhist canons, called Eternalism or *śāśvatavāda*, while the second pair constituted the opposite side, Annihilationism or *uccheda-vāda* (sometimes, even Nihilism). In the same vein, i.e. the vein of rough generalization, we put the spirituality of reality on one side and the materiality of reality on the other. Looking a little further we can even bring the proverbial opposition between Idealism and Realism, in their most general senses, in line with the above pairs of opposites.

Avoidance of the two extremes (*anta* = one-sided view) was the hallmark of Buddhism. In his dialogue with Kātyāyana, the Buddha is said to have identified 'it is' as one *anta* (= extreme) and 'it is not' as the other extreme, and then he said that the Tathāgata must avoid both and resort to the middle. Hence Buddhism is described as the Middle Way. The Mahāvīra's *anekānta* way consisted also in not clinging to either of them exclusively. Roughly, the difference between Buddhism and Jainism in this respect lies in the fact that the former avoids by *rejecting* the extremes altogether while the latter does it by *accepting* both with qualifications and

also by reconciling between them. The hallmark of Jainism is, therefore, the attempted reconciliation between the opposites.

II

It would be better to start with some traditional descriptions of the concept of *anekānta*. An alternative name is *syādvāda*. Samantabhadra describes it as a position 'that gives up by all means any categorically asserted view' (*sarvathaikāntatyāgāt)* and is dependent (for its establishment) upon the method of 'sevenfold predication' (*Āptamīmāṃsā*, 104). Malliṣeṇa says that it is a doctrine that recognizes that each element of reality is characterized by many (mutually opposite) predicates, such as permanence and impermanence, or being and non-being. It is sometimes called *vastu-śabala* theory (SdM, p. 13), that underlines the manifold nature of reality. Manifoldness in this context is understood to include mutually contradictory properties. Hence, on the face of it, it seems to be a direct challenge to the law of contradiction. However, this seeming challenge should not be construed as an invitation to jump into the ocean of irrationality and unintelligibility. Attempts have been made by an array of powerful Jaina philosophers over the ages to make it rationally acceptable. We will see how.

Guṇaratna Sūri, in his commentary on Haribhadra's *Sarva-darśanasaṃgraha*, says that the Jaina doctrine is to show that the mutually opposite characterization of reality by the rival philosophers should be reconciled; for, depending upon different points of view, reality can be discovered to have both natures, being and non-being, permanent and impermanent, general and particular, expressible and inexpressible. The Jainas argue that there are actually seriously held philosophical positions, which are mutually opposed. For example, we can place the Advaita Vedānta at one end of the spectrum, as they hold Brahman, the ultimate reality, to be non-dual, permanent, substantial, and an all-inclusive being. This is where the 'being' doctrine culminates. The Buddhists, on the other hand, are at the other end of the spectrum. Their doctrine of momentariness (as well as

emptiness) is also the culmination of the 'non-being' doctrine, which can also be called the *paryāya* doctrine. Traditionally, in Jainism, *dravya* 'substance' ('permanence', 'being') is contrasted with *paryāya* 'modification', 'change' or even 'non-being'. One should be warned that, by equating Buddhism with 'non-being', I am not making it nihilistic. For 'non-being' equals 'becoming'. *Paryāya* is what is called a process, the becoming, the fleeting or the ever-changing phases of the reality, while *dravya* is the thing or the being, the reality which is in the process of fleeting. And the two, the Jainas argue, are inextricably mixed together, such that it does not make any sense to describe something as exclusively 'permanent', a *dravya*, without necessarily implying the presence of the opposite, the process, the fleetingness, the impermanence, the *paryāya*. Being and becoming mutually imply each other, and to exclude one or the other from the domain of reality is to take a partial (*ekānta*) view.

The idea is not that we can identify some elements of reality as 'substance' and others as 'process' or *paryāya* Rather, the claim is that the same element has both characteristics alternatively and *even simultaneously*. It is the last part, 'even simultaneously', that would be the focus of our attention when we discuss the sevenfold predication. The challenge to the law of contradiction that we have talked about earlier can be located, in fact, pinpointed, in this part of the doctrine. The *anekānta* has also been called the *ākulavāda*, a 'precarious' doctrine. The idea is, however, that it challenges any categorically asserted proposition, ordinary or philosophical. Its philosophical goal is to ascribe a 'precarious' *value* to all such propositions. It condones changeability of values (i.e. truth-values). However, it does not amount to scepticism, for the manifoldness of reality (in the sense discussed above) is non-sceptically asserted. It is also not dogmatism, although it can be said that they were dogmatic about non-dogmatism.

III

How do the Jainas argue in favour of their position and answer the charge of irrationality and unintelligibility? Traditionally, their method of *saptabhaṅgī* or 'sevenfold predication' as well as their doctrine of 'standpoints' (*nayavāda*) supplies the material for the constructive part of the argument. To answer criticism, however, they try to show how contradictory pairs of predicates can be applied to the same subject with impunity and without sacrificing rationality or intelligibility. This may be called the third part of their argument. I shall comment on the last by following an outstanding Jaina philosopher of ninth century A.D. Haribhadra. In another section, I shall discuss the first part, the sevenfold predication, before concluding with some general comments.

In his *Anekāntajayapatākā* ('The Banner of Victory for Anekānta'), Haribhadra formulates the opponents' criticism as follows (we will be concerned with only a few pages of the first chapter). He first selects the pair: *sattva*, 'existence' or 'being', and *asattva*, 'non-existence' or 'non-being'. The opponent says G.O.S. 1940 edn., p. 11):

> Existence is invariably located by excluding non-existence, and non-existence by excluding existence. Otherwise, they would be non-distinct from each other. Therefore, if something is existent, how can it be non-existent? For, occurrence of existence and non-existence in one place is incompatible …

> Moreover, if we admit things to be either existent or non-existent, existence and non-existence are admitted to be properties of things. One may ask: are the property and its locus, the thing, different from each other? Or are they identical? Or, both identical and different? If different, then, since the two are incompatible, how the same thing can be both? If identical, then the two properties, existence and non-existence, would be identical. … And if so, how can you say that the same thing has (two different) natures?

> <div align="right">(pp. 11–12)</div>

The main point of the argument here depends upon reducing the Jaina position to two absurd and unacceptable consequences. If the properties (or the predicates) are incompatible (and different), they cannot characterize the same entity. And if they are somehow shown to be not incompatible, the Jainas lose their argument to show that the same entity is or can be characterized by two incompatible properties. Haribhadra continues:

> If they are both, identical and different, we have also two possibilities. If they are different in one form or one way and identical in another way, then also the same cannot be said to have two different natures. However, if they are different in the same way as they are identical with each other, this is also not tenable. For there will be contradiction. How can two things be different in one way, and then be identical in the same way? If they are identical, how can they be different?" (pp. 12–13)

This is the opponent's argument. The formulation is vintage Haribhadra. Now the answer of Haribhadra may be briefly given as follows:

> You have said 'How can the same thing, such as a pot, be both existent and non-existent?' This is not to be doubted. For it (such dual nature of things) is well-known even to the (unsophisticated) cowherds and village women. For if something is existent in so far as its own substantiality, or its own location, or its own time or its own feature is concerned, it is also non-existent in so far as a different substantiality, a different location, a different time or a different feature is concerned. This is how something becomes both existent and non-existent. Otherwise, even such entities as a pot would not exist.
>
> (p. 36)

The existence of an entity such as a pot depends upon its being a particular substance (an earth-substance), upon its being located in a particular space, upon its being in a particular time and also upon its having some particular (say, dark) feature. In respect of a water-substance, it would be non-existent,

and the same with respect to another spatial location, another time (when and where it was non-existent), and another (say, red) feature. It seems to me that the indexicality, or the determinants of existence, is being emphasized here.

To make this rather important point clear, let us consider the sentence:

It is raining.

This would be true or false depending upon various considerations or criteria. It would be true if and only if it is raining, but false if it happens to be snowing. This may correspond to the 'substantiality' (*dravyataḥ*) criterion mentioned by Haribhadra. Next, the same would be true if and only if it is raining at the particular spot where the utterance has been made, otherwise false (at another spot, for instance). It would be likewise true if and only if it is raining now when it has been uttered, but false when the rain stops. Similarly, it would be again true if and only if it is raining actually from rain-clouds, for instance, not so when it is a shower of water from artificial sprinklers. It is easy to see the correspondence of these criteria with the other three mentioned by Haribhadra.

Haribhadra, in fact, goes a little further to conclude that a statement like 'It is raining' or even 'The pot exists' has both truth-values, it is both true and false, in view of the above considerations. In fact, it is better to talk in terms of truth-values (as will be clear below), rather than in terms of the contradictory pairs of predicates. For the law of contradiction, as it is usually stated in ordinary textbooks of logic, requires that the denial of a predicate, F, of a subject, a, be the same as the affirmation of the contradictory predicate of the same subject and vice versa. Besides, saying yes and no to such questions as 'Is a F?' is equivalent to assign truth and falsity respectively to the statement 'a is F'.

One may argue that discovery of the indexical elements on which the determinants of a truth-value depends, that is, of the indexical determinants for successfully applying a predicate, may not be enough to draw such a radical conclusion as the Jainas want, namely, co-presence of contradictory properties in the same locus or assigning of both truth and falsity to the

same proposition. Faced with such questions where indexical elements play an important and significant role, we may legitimately answer, 'yes and no. It depends'. However, to generalize from such evidence that the truth and falsity of all propositions suffer from this indeterminacy due to the presence of the indexical or variable elements, and further, that all propositions are therefore necessarily and omnitemporally (*sarvathā* and *sarvadā*) both true and false, may be an illicit jump. The successful application of any predicate to a thing, on this view, depends necessarily upon a variable element such that it can or cannot be applied accordingly as we can substitute one or another thing for these variable elements. These elements, which may remain hidden in a categorically asserted proposition, is sometimes called a point of view or a standpoint. It also amounts to a view which announces that all predicates are *relative* to a point of view; no predicate can be *absolutely* true of a thing or an object in the sense that it can be applied unconditionally at all times under any circumstances. Jainism in this way becomes identified with a sort of facile relativism.

If the points in the above argument are valid, then it would be a sound criticism of Jaina philosophy. However, let us focus upon two related points. First, relativism. The reflexes of relativism are unmistakable in Jainism, as they are in many modern writers. The familiar resonance of Jainism is to be found in Nelson Goodman (*The Ways of World-Making*). A typical argument is to show how the earth or the sun can be said to be both in motion and at rest depending upon the point of view. An obvious criticism of facile relativism (though not that of Goodman) is that it can be shown to be self-inconsistent, for in trying to argue that all truths are relative to some point of view or other, it makes use of an absolute notion of truth. Will this charge hold against Jainism? I do not think so. For Jainism openly admits an absolute notion of truth, which lies in the total integration of all partial or conditionally arrived at truths, and is revealed to the vision of an omniscient being such as the Mahāvīra. The emphasis here is on the conditionality and limitedness of the human power and human vision and therefore it applies to all humanly constructible positions. The concern is somewhat ethical. Rejection of a seriously held view is discouraged, lest we fail to comprehend

its significance and underlying presuppositions and assumptions. The Jainas encourage openness.

Are the Jainas guilty of illicit generalization? This is another point of the above critique. All predicates for which there is a contradictory one, are indeterminate as regards the truth and falsity of their application. In fact, by claiming that the contradictory pairs are applicable they take the *positive* way out as opposed to the Buddhists, the Mādhyamikas, who take the *negative* way. Of the familiar four Buddhist alternatives, yes, no, both, and neither, the Jainas may prefer the third, both yes and no, while the Mādhyamikas reject all four. If unconditionality and categorically of any predication, except perhaps the ultimate one, *anekānta* in this case, is denied, then this is a generalized position. The only way to counter it would be to find a counter-example, that is, an absolute, unconditionally applicable, totally unambiguous and categorically assertible predicate, or a set of such predicates, without giving in to some dogma or having some unsuspected and unrecognized presupposition. The Jainas believe that this cannot be found. Hence *anekānta*.

Haribhadra and other Jaina philosophers have argued that we do not often realize, although we implicitly believe, that application of any predicate is guided by the consideration of some particular *sense* or criterion (excessive familiarity with the criterion or sense makes it almost invisible, so to say). This is not exactly the Fregean *Sinn*. In the Indian context, there is a well-entrenched tradition of talking about the 'basis' or the 'criterion' for the application of a predicate or a term. This can be called the *nimitta* theory (the 'basis' or 'criterion' theory). A predicate can be truly applied to something *x* in virtue of a particular or a specific basis. The philosopher, when he emphasizes the particularity or specificity of such a basis, indirectly and implicitly commits himself to the possibility of denying that predicate (i.e. of applying the contradictory predicate) to the same thing, *x*, in virtue of a different basis or criterion. Haribhadra says (p. 44):

> (The Opponent says:) The lack of existence in virtue of being a watery substance, etc., belongs to a particular earth-substance, a pot;

however, this is because the locus of non-existence of something cannot be a fiction. We admit therefore that it is the particularity of the earth-substance, the pot, that excludes the possibility of its being existent as a water-substance (this does not amount to admitting the co-presence of existence and non-existence in one locus).

(The Jaina answer:) Oh, how great is the confusion! By your own words, you have stated the *anekānta*, but you do not even recognize it yourself! Existence in virtue of being an earth-substance itself specifies its non-existence in virtue of being a water-substance (you admit this). But you cannot admit that the thing has both natures, existence and non-existence. This is a strange illusion! No object (or thing) can be specified without recourse to the double nature belonging there, presence of its own existence in it, and absence from it, the existence of the other.

The general point of the Jainas seems to be this. Any predicate acts as a qualifier of the subject and also a distinguisher. That is, its application not only refers to or, in the old Millian sense, connotes, a property that is present in the subject, but also indicates another set of properties that are *not* present in it at all. In fact, insistence, that is, absolute insistence, on the presence of a property (an essential property) in a subject, lands us invariably into making a negative claim at the same time, absence of a contradictory property, or a set of contrary properties from the same subject-locus.

At this stage, the opponent might say, with some justification, that the conclusion reached after such a great deal of arguing tends to be trivial and banal. All that we have been persuaded to admit is this. Existence can be affirmed of a thing, *x*, in virtue of our fixing certain determinants in a certain way, and if the contrary or contradictory determinants are considered, existence may be denied of that very thing. This is parallel to assigning the truth-value to a proposition when all the indexical elements in it are made explicit or fixed, and being ready to accept the opposite evaluation if some of their indexicals are differently fixed or stated. Realists

or believers in bivalence (as Michael Dummett has put it) would rather have the proposition free from any ambiguities due to the indexical elements—an eternal sentence (of the kind W.V. Quine talked about) or a thought or *Gedanke* (of the Fregean kind)—such that it would have a value, truth or falsity—eternally fixed. However, the Jainas can reply the charge of banality, by putting forward the point that it is exactly such possibilities which are in doubt. In other words, they deny that we can, without impunity, talk about the possibility of clearly and intelligibly stating such propositions, such eternal sentences, or expressing such thoughts. We may assume that a proposition has an eternally fixed truth-value, but it is not absolutely clear to us what kind of a proposition would that be. For it remains open to us to discover some hidden, unsuspected determinants that would force us to withdraw our assent to it,

V

A more serious criticism of Jainism is that if the senses are changed, and if the indexicals are differently interpreted, we get a new and different proposition entirely, and hence the result would not be affirmation and denial jointly of the same proposition. If this is conceded then the main doctrine of Jainism is lost. It is not truly an *anekānta*, which requires the *mixing* of the opposite values. This critique, serious as it is, can also be answered. This will lead us to a discussion of *saptabhaṅgī*.

The philosophical motivation of the Jainas is to emphasize not only the different facets of reality, not only the different *senses* in which a proposition can be true or false, not only the different determinants which make a proposition true or false, but also the contradictory and opposite sides of the *same* reality, the dual (contradictory) evaluation of the same proposition, and the challenge that it offers to the doctrine of bi-valence realism.

Let us talk in terms of truth predicates. The standard theory is bi-valence, i.e. two possible valuations of a given proposition, true or false. The first step taken by the Jainas in this context is to argue that there may be

cases where joint application of these two predicates, true and false, would be possible. That is, given certain conditions, a proposition may be either (1) true or (2) false or (3) both true and false. If there are conditions under which it is true and there are other conditions under which it is false, then we can take both sets of these conditions together and say that given these, it is both. This does not mean, however, the rejection of the law of contradiction. If anything, this requires only non-compliance with another law of the bi-valence logic, that of the excluded middle (the excluded third). It requires that between the values true and false, there is no third alternative. The law of non-contradiction requires that a proposition and its contradictory be not true together. This keeps the possibility of their being false together open. Only the law of excluded middle can eliminate such a possibility. This is at least one of the standard interpretations of the so-called two laws of bi-valence logic. In a non-bi-valence logic, in a multiple-valued logic, the law of contradiction is not flouted, although it disregards the excluded third. The Jainas however disregard the mutual exclusion of yes and no, and argue, in addition, in favour of their combinability in answer to a given question. We have shown above how such opposite evaluations of the same proposition can be made compatible and hence combinable.

It is the sameness of the proposition or the propositional identity that is open to question here. If the change of determinants of point of view, of the indexical element, introduces a different proposition, the change of truth-values from 'true' to 'false' would not be significant enough. However, we may claim that the proposition, whatever that is, remains the same and that it has both values, 'true' and 'false', depending upon other considerations. This would still be a non-significant critique of the classical standard logic of bi-valence. The Jainas therefore go further, in order to be true to their doctrine of 'precarious' evaluation (*ākulavāda*), and posit a separate and non-composite value called '*avaktavya*' ('inexpressible'), side by side with 'true' and 'false'. I shall presently comment on the nature of this particular evaluation. First, let us note how the Jainas get their *seven* types (ways) of propositional evaluation. If we allow combinability of values, and if we have three basic evaluative predicates (truth-values?), 'true', 'false' and

'inexpressible' (corresponding to 'yes', 'no' and 'not expressible by such yes or no'), then we have seven and only seven alternatives. Writing '+', '−' and '0' for the three values respectively:

$+, −, + −, 0, 0^+, 0^−, 0^{+−}$.

For proper mathematical symmetry, we may also write:

$+, −, 0, + −, {}^+0, {}^-0, 0^{+−}$

This is following the principle of combination of three basic elements, taking one at a time, two at a time and all three. The earlier arrangement reflects the historical development of the ideas. Hence, in most texts, we find the earlier order.

The 'Inexpressible' as a truth-like predicate of a proposition has been explained as follows: It is definitely distinct from the predicate 'both true and false'. For the latter is only a combination of the first two predicates. It is yielded by the idea of the combinability of values or even predicates that are mutually contradictory. Under certain interpretations, such a combined evaluation of the proposition may be allowed without constraining our intuitive and standard understanding of a contradiction and consistency. 'It is raining' can be said to be both true and false under varying circumstances. However, the direct and unequivocal challenge to the notion of contradiction in standard logic comes when it is claimed that the same proposition is both true and false at the Same time in the same sense. This is exactly accomplished by the introduction of the third value—'Inexpressible', which can be rendered also as paradoxical. The support of such an interpretation of the 'Inexpressible' is well founded in the Jaina texts. Samantabhadra and Vidyānanda both explain the difference between the 'true and false' and the 'Inexpressible' as follows. The former consists in the *gradual* (*kramārpaṇa*) assigning of the truth-values, true and false, while the latter is joint and simultaneous ('in the same breath') assigning of such contradictory values (cf. *sahārpaṇa*). One pat suggestion is that the predicate is called 'Inexpressible' because in this case we are constrained to say both 'true' and

'false' in the same breath. Something like 'true-false' or 'yes-no' would have been better, but since these are only artificial words, and there are no natural-language-words to convey the concept that directly and unambiguously flouts non-contradiction, the Jainas have devised this new term 'Inexpressible' to do the job—a new evaluative predicate, non-composite in character, like 'true and 'false'.

This metalinguistic predicate, 'Inexpressible', has been acknowledged as a viable semantic concept in the discussion of logical and semantical paradoxes in modern times. Nowadays, some logicians even talk about 'para-consistent' logics, where a value like 'both true and false simultaneously' is acknowledged as being applicable to paradoxical propositions such as 'This sentence is false' or 'I am lying'. The third value is alternatively called 'paradoxical' or 'indeterminate' (this is to be distinguished from 'neither true nor false', which is also called 'indeterminate'; see Priest, 1979). With a little ingenuity, one can construct the matrices for Negation, Conjunction, Alternation, etc. for the system. The Jainas however do not do it.

I shall now emphasize the significant difference between the philosophical motivations of the Jainas and those modern logicians who develop multiple-valued logics or para-consistent logics. First, the logicians assign truth to the members of a certain set of propositions, falsity to another set and the third value, paradoxicality, to the problem set, i.e. the set of propositions that reveal the various versions of the liar paradox and other paradoxes. The Jainas, on the other hand, believe that each proposition, at least each meta-physical proposition, has the value 'Inexpressible' (in addition to having other values, true, false etc.). That is, there is some interpretation or some point of view, under which the given proposition would be undecidable so far as its truth or falsity is concerned, and hence could be evaluated as 'In-expressible'. Likewise, the same proposition, under another interpretation, could be evaluated 'true', and under still another interpretation, 'false'.

Second, my reference to the non-bi-valence logic or para-consistent logic, in connection with Jainism, should not be over-emphasized. I have

already noted that Jaina logicians did not develop, unlike the modern logicians, truth matrices for Negation, Conjunction, etc. It would be difficult, if not totally impossible, to find intuitive interpretations of such matrices, if one were to develop them in any case. The only point which I wanted to emphasize here, is to show that the Jaina notion of the 'Inexpressible', or notion of *anekānta* in the broader perspective, is not an unintelligible or irrational concept. Although the usual law of non-contradiction, which is by itself a very nebulous and vague concept, is flouted, the Jainas do not land us in the realm of illogic or irrationality.

Last, but not the least, the Jainas in fact set the limit to our usual understanding of the law of non-contradiction. There are so many determinants and indexicals for the successful application of any predicate that the proper and strict formulation of the ways by which this can be contradicted (or the contradictory predicate can be applied to the same subject) will always out-run the linguistic devices at our disposal. The point may be stated in another way. The notion of human rationality is not fully exhausted by our comprehension of, and the insistence upon, the law of non-contradiction. Rational understanding is possible of the Jaina position in metaphysics. In fact, one can say that the Jaina *anekānta* is a meta-metaphysical position, since it considers all metaphysical positions to be spoiled by the inherent paradoxicality of our intellect. Thus, it is a position about the metaphysical positions of other schools. It is, therefore, not surprising that they were concerned with the evaluation of propositions, with the general principle of such evaluation. In this way, their view rightly impinged upon the notions of semantics and problems with semantical paradoxes. And above all, the Jainas were non-dogmatic, although they were dogmatic about non-dogmatism. Their main argument was intended to show the multi-faceted nature of reality as well as its ever elusive character such that whatever is revealed to any observer at any given point of time and at any given place, would be only partially and conditionally right, ready to be falsified by a different revealation to a different observer at a different place and time. The Jainas think that in our theoretical search for understanding reality, this point can hardly be overstated.

Sanskrit Philosophy of Language

J. F. Staal

In memory of Louis Renou

Long before the modern languages of South Asia began to develop, a tradition of linguistic studies originated in areas of what is now India and Pakistan and what will, on account of a certain unity of traditional culture, be referred to as "India". While it is increasingly becoming known that it was in India that the science of linguistics originated and developed into an impressive tradition, India also continues to be regarded, especially in non-professional circles, as a country devoted to philosophy. An at times almost excessive preoccupation with language on the one hand, and with philosophy on the other, may indeed be regarded as a characteristic of Indian civilization. Since instances of cross-communication and cross-fertilization between these two trends have never been rare on the subcontinent, their confluence in the linguistic speculations of what could be called the Indian philosophy of language should be a rewarding subject for study. Recent research continues to justify this expectation. Because the Indian authors in this field wrote almost exclusively in Sanskrit and confined their attention to Sanskrit as the only object-language worthy of study and speculation, the philosophies of language here considered may be referred to as "Sanskrit philosophy of language".

The term "Sanskrit philosophy of language", thus loosely introduced, may still denote a variety of topics. Taking it in a rather narrow sense, it could be thought of as referring to the views of the Sanskrit grammarians, in

particular of Pāṇini's school, concerning semantics, the methodology of linguistics and the nature of language. Such views are found in some of the grammatical works, along with more specific descriptions of structures of Sanskrit. The earliest comprehensive source for discussions of this sort is Patañjali's *Mahābhāṣya* (second or first century B.C.: Renou, 1969, 489), and the most celebrated work in the grammatico-philosophical tradition which is primarily devoted to the philosophy of language is Bhartṛhari's *Vākyapadīya* (fifth century A.D.: Biardeau 1964a, 257). It may be noted that Bhartṛhari also commented on portions of the *Mahābhāṣya*, and that the *Vākyapadīya* should be understood against the background of both grammar and philosophy. There is every reason, on the other hand, to regard the *Mahābhāṣya* as an important work not only for grammar, but also for logic, methodology and philosophy (despite Frauwallner 1960, Scharfe 1961; cf. Biardeau 1964a, 31 *note*; Staal 1963c, 1967, 44–5).

The expression "Sanskrit philosophy of language" may also be taken in a wider sense and may then be thought of as referring to the various views on the nature of language put forward by Indian philosophers, whether or not directly influenced by the Sanskrit grammarians. Though almost all Indian philosophers — whether Hindu, Buddhist or Jain — devoted some attention to language, and most of the commentators evince familiarity with at least some rules of Pāṇini, language was a more or less basic topic only for the Hindu systems of Mīmāṃsā and Nyāya, and important, though not pivotal, for the Hindu Vedānta and for similar developments in Buddhism.

In the present survey, the Sanskrit philosophy of language will be taken mainly in its wider sense. The survey will not aim at comprehensiveness, for the subject is only beginning to be explored. Accordingly, some specific topics will be selected from various sources, representing the main approaches. Both before and after 1947, these approaches have been dealt with in publications primarily devoted to other topics. Monographs dealing exclusively with the philosophy of language (e.g., Chakravarti 1930 and 1933) and also articles with similar aims (e.g., Liebich 1923 and Strauss 1927) used to be rather rare. General histories of Indian philosophy touched upon these subjects under different headings, without attempting to place them in

a proper perspective. S. N. Dasgupta, author of the most comprehensive history, announced that he would treat the philosophy of grammar in a later volume (Dasgupta 1940, ix); but unfortunately he died before he could carry out this task. With particular reference to Indian semantics, Emeneau could declare in 1955: "(in India) … much was thought and written on the subject. Of this the West is for all practical linguistic purposes innocent. The Hindu treatises are in a difficult style and few in the West will be qualified to deal with them, as Sanskritists, philosophers, and linguistic scholars. Yet the results are likely to be worth the effort; it is a subject that can be recommended to aspirants" (Emeneau 1955, 151).

A few years later Tucci devoted a chapter of his history of Indian philosophy to "La parola" (Tucci 1957, 529–46). Recent years have shown a considerable increase in interest, which is undoubtedly due both to the growing importance of Western linguistics and to the interest of contemporary Western philosophy in problems of language and of linguistic analysis. Recent monographs in the field are Ruegg (1959), Sastri (1959), Bhattacharya (1962), Pandeya (1963), Kunjunni Raja (1963) and Biardeau (1964a). While some of these rarely refer to other recent contributions, others have benefited from the relatively numerous articles that appeared since Brough (1951). It must at the same time be stressed that many fundamental problems, both conceptual and historical, still await a satisfactory solution, while some topics that may turn out to be basic have hardly been touched upon.

The various approaches, theories, and doctrines that will here be referred to are interconnected in many ways. They sometimes developed side by side and are therefore not amenable to a purely chronological treatment. They will be dealt with here under the following headings: *1.* Methodological principles of the Sanskrit grammarians. *2.* Syntax and semantics at the time of the Sanskrit grammarians. *3.* Mīmāṃsā theories of language. *4.* Buddhist views on meaning and the nature of language. *5.* Bhartṛhari's philosophy of language. *6.* Vedānta and related views on language. *7.* Nyāya-Vaiśeṣika doctrines on language and the logical analysis of sentences.

1. METHODOLOGICAL PRINCIPLES OF THE SANSKRIT GRAMMARIANS

Many of the techniques of the Sanskrit grammarians are strictly confined to specific problems of grammatical description. Their use and background has been the subject of ample discussion. The key concepts appearing in these discussions have been studied in the third chapter of Renou 1940 (76–141: "Les procédés d'interprétation chez les grammairiens sanskrits"). The main terms are also explained in the grammatical dictionaries of Renou (1957) and Abhyankar (1961), and, less comprehensively, in Appendix *F* of Āpte's *Sanskrit-English dictionary* (1959, III, 77–112: "Grammatical concordance"). A detailed analysis of some methods as applied to a particular topic is given in Shefts (1961; cf. Staal 1963b). Logical methods used by Patañjali are discussed by Scharfe (1961; cf. Staal 1963c). Though a distinction ought to be made between Pāṇini's use of certain methods, Patañjali's elucidations and the later developments, this is hardly taken into account in the present survey which is confined to some of the topics with a general methodological significance. Many of these topics figured already in the *vārttikas* of Patañjali's predecessor Kātyāyana (Renou 1969, 488). They were lucidly discussed in the *Paspaśā* or Introduction to the *Mahābhāṣya*, now readily accessible in a separate annotated translation (Chatterji 1957[2]).

The most important concept of Pāṇini's grammar is that of *sūtra* 'rule'. The *Aṣṭādhyāyī* is not a catalogue of facts about Sanskrit, but a set of rules which expresses the grammatical regularities of the language. We would nowadays say that a finite number of rules is required in order to account for infinitely many expressions. Patañjali is very explicit in this respect at the beginning of the *Paspaśā* in a passage that deserves to be quoted in full: "Now if grammatical expressions (*śabda*) are taught, must this be done by the recitation of each particular word (*pada*) for the understanding of grammatical expressions — must, e.g., the grammatical expressions *gauḥ* 'cow', *aśvaḥ* 'horse', *puruṣaḥ* 'man', *hastī* 'elephant', *śakuniḥ* 'kite', *mṛgaḥ* 'deer', *brāhmaṇaḥ* be recited? No, says the author, this recitation of each particular word is not a means for the understanding of grammatical

expressions. For there is the following tradition: Bṛhaspati addressed Indra during a thousand divine years going over the grammatical expressions by speaking each particular word, and still he did not attain the end. With Bṛhaspati as the instructor, Indra as the student and a thousand divine years as the period of study, the end could not be attained, so what of the present day when he who lives a life in full lives at most a hundred years? ... Therefore the recitation of each particular word is not a means for the understanding of grammatical expressions. — But then how are grammatical expressions understood? Some work containing general and particular rules has to be composed ...".[1]

Rules were also given in the *Prātiśākhya* literature, which deals specifically with the relation between each particular Vedic *saṃhitā* ("continuous[ly recited]") text (in which the *sandhi* rules are applied) and the corresponding *pada* ("word (for word)") text (in which the *sandhi* combinations are dissolved); more generally, this literature may be said to deal with Vedic phonology. In the *Ṛkprātiśākhya* (13.31: Renou 1957, 483), itself referred to as *sūtra* (Renou 1963, 201 *note* 9), rules are referred to by means of the term *lakṣaṇa.* In grammar in general, *lakṣaṇa* is based upon *lakṣya* 'object of the rule', i.e., the object-language, since the rules must be in accordance with everyday usage (*loka*). The rules then have a general character but must conform to the empirical facts of usage.

The concepts *sūtra, lakṣaṇa/lakṣya* and *loka* have increasingly come to play a fundamental role. As for *sūtra*-rules and the elucidations they necessitate in the form of expansions (*vṛtti*), explanations (*vārttikā*), interpretations (*vyākhyāna*) and commentaries (*bhāṣya*), Renou has provided a survey which ranges from the ritual and grammatical to the legal and philosophical rules (Renou 1963). The terms *lakṣaṇa* and *lakṣya* (which in musical texts, for example, came to denote theory and practice, respectively), refer to the distinction made in Indian logic between the *definiens* and the *definiendum,* respectively (Staal 1961). For *loka* and *sarvaloka* no special study seems to be available. It is however clear from the use the earliest grammarians made of these terms, that they did not teach how Sanskrit ought to be spoken, but how it was spoken. Originally,

grammar was a descriptive, not a prescriptive science (that this changed in the course of the centuries is not surprising in view of Pāṇini's authority). That grammatical descriptions are based upon forms everybody has at his disposal is again illustrated by Patañjali in his characteristic manner: "He who wants pots goes to the shop of a potter, but he who wants words does not go to the shop of a grammarian" (Staal 1963a, 25 corresponding to 1965c, 109). Later philosophers argued from common usage (*sarvaloka*) in a similar manner as the British linguistic or "ordinary language" philosophers. Śaṅkara, for example, seeks to establish the continuity of personality against the Buddhist thesis of momentariness by explicitly invoking *sarvaloka* and applying this as follows: "we observe people saying '*I* remember to-day what *I* saw (yesterday)', but never '*I* remember to-day what *he* saw yesterday'" (*Brahmasūtrabhāṣya* 2.2.25; Staal 1966e).

What did the grammatical rules effectuate in the first place? Pāṇini's answer is: *ādeśa* "substitution". The rules can therefore, in principle, be written in the form:

$$a \rightarrow b, \tag{1}$$

where *a* denotes the substituendum (*sthānin*) and *b* the substitute (also called *ādeśa*). However, since context-restrictions have often to be taken into account, the majority of rules is written in the form:

$$c\,[a \rightarrow b]\,d \tag{2}$$

or:

$$c\,a\,d \rightarrow c\,b\,d, \tag{3}$$

where *c* and *d* need not be null (Staal 1965a cf. Cardona 1965 and Staal, 1967, 27 *note* 9). Pāṇini expresses this by using the cases meta-linguistically. The *Prātiśākhya* literature sometimes emphasized *vikāra* 'modification' or *pariṇāma* 'transformation'. For the Pāṇinīyas however, *a* does not become *b* and words do not change. This resulted in synchronic analysis, but was based upon the conviction that words are eternal (*nitya*) and not, for example, upon the methodological assumption that diachronic

analysis presupposes synchronic analysis. Accordingly, preference is given to interpretations of the form (3) as distinct from (2). In this connexion Patañjali quotes a verse: "all (substitutes) taught by Pāṇini, the son of Dākṣī, are substitutes of entire words; for if only a portion of the word were modified, the permanence of words would not be possible"[2] (Ruegg 1959, 45). Thus, words are always *siddha* 'established' and not *sādhya* 'to be established' (Biardeau 1964a, 36 and following). In this respect the rules of grammar differ from the prescriptive rules (*vidhi*) of the Mīmāṃsā (see below, *3*). They constitute in fact an exception to the general emphasis on imperatives and subjunctives, which resulted from the requirements of Vedic exegesis, and which accounts for the fact that "the linguistic thought of philosophers in India was not so largely confined to indicative propositions as that of logicians in the west" (Brough 1953, 162). The emphasis on descriptive sentences returns in the Advaita Vedānta with its descriptive and realistic stress on knowledge based upon the object that is *siddha*, as against meditation based upon prescriptive rules (*vidhi*) and referring to what is *sādhya* (Staal 1962a, 61–63).

Of the resulting grammatical problems treated by Kātyāyana and Patañjali, some were lucidly formulated by Kielhorn: "If it is admitted that the words and their meanings are fixed and settled by common usage, it may well be asked whether the rules laid down by Pāṇini are at all necessary, and it must therefore be shown that and why they are necessary" (Kielhorn 1876 = 1965[2], 49). This is answered by Kātyāyana by declaring that grammar enjoins restrictions (*dharmaniyama*), which is discussed at length in the *Paspaśā* (Thieme 1929, 29–32; cf. Biardeau 1964a, 35–6, but see J. C. Wright in *BSOAS* 29 [1966] 169). Next Patañjali, following Kātyāyana, considers the following question (in Kielhorn's words): "If it is the object of grammar to lay down rules for the correct formation of those words which people actually use, it does not seem improper to enquire whether Pāṇini, in teaching the formation of such words as would not appear to be in use, has not laid himself open to just censure" (Kielhorn ibid). Various answers are suggested, including pointed references to the fact that "the extension for the use of words is vast"[3].

Both the formulation and the use of rules raise methodological problems. In formulating rules, the grammarians use an economy criterion (*lāghava* 'simplicity') which requires that the rules be formulated in as concise a manner as possible. The following *paribhāṣā* (see below) is often quoted in this connexion: "Grammarians rejoice over the saving of the length of half a short vowel as over the birth of a son".[4] On account of this criterion, which was widely adopted also outside the grammatical tradition (e.g., Staal 1963b), Pāṇini used special abbreviations and, often as a result of this, adopted a special ordering of the rules. The order of rules is sometimes marked by headings (*adhikāra*; cf. Renou 1955, 124–6). Among the abbreviations an important place is occupied by the indicatory sounds (*anubandha*; Pāṇini called them *it*). An example is *śap*, which indicates an *a* added to the verbal root in order to derive the present stem (both *śit* "the indicatory sound *ś*" and *pit* "the indicatory sound *p*" denote specific properties) (Shefts 1961). These indicatory sounds are metalinguistic elements (they occur, says Pāṇini, in *upadeśa* 'grammatical instruction' only), just as the technical terms of grammar; they raise typographical problems when translated into another language (Staal 1963b). The *anubandha* elements must disappear before the grammatical forms are finally derived (Pāṇini 1.3.9): in forming the present stem from the root *tud-* by adding *śap* we do not wish to derive **tudśap-* but *tuda-*. The term *anubandha* may have been adopted from the ritual term *anubandhya paśu*, denoting the sacrificial victim tied to the post and subsequently slaughtered (Abhyankar 1961, 24). Patañjali discusses the question whether it has to be assumed that the word is different when its *anubandha* has disappeared: "If it is held that the *anubandha* produces something else, the answer is, No. Why? Because of elision. The *anubandha* is here elided. When the *anubandha* is here elided it (the word) does not become something else. Just as in the following case. 'Which of these two is Devadatta's house? That where the crow is.' When the crow flies away, the house is no longer marked. Likewise here, when this *anubandha* is lost, the evidence is destroyed. But even if one knows that the *anubandha* is lost, the understanding that it was marked by it remains. Just as in the following

case. 'Which of these two is Devadatta's house? That where this crow is.' When the crow flies away and even if the house is no longer marked, one knows in consequence what was indicated" (partly quoted by Scharfe 1961, 164).[5]

The economy criterion accounts for much in the structure of Pāṇini's grammar, including the order of its rules. At first sight the order seems haphazard, since the information on particular topics may be scattered all over the grammar. Attempts to change the order have been frequent (e.g., by Bhaṭṭojī Dīkṣita in the 17th century); they are bound to fail unless it is realized that the order of rules is determined by the logical structure of the grammar. The most interesting modern studies on order belong to the thirties (Buiskool 1934 = 1939, Faddegon 1936) and have since been resumed only within a more limited framework. The problem of automation with respect to Pāṇini's rules, which presupposes that problems of order have been solved, has hardly been touched upon (Fowler 1965, but see Staal 1966c).

Apart from their formulation, the rules raise important methodological problems with regard to their use. The preceding remarks have shown that the Pāṇinīyas distinguished between object-language and metalanguage. The relevant *sūtra* (1.1.68) has been discussed by Brough (1951), who has demonstrated that the Indian grammarians distinguished very clearly (for Bhartṛhari, see Biardeau 1964a, 360–4; Gray 1968, 72–4) between use and mention. In ordinary Sanskrit, a *quoted* expression is followed by the particle *iti*, i.e., English "'---'" corresponds to Sanskrit "---*iti*". The grammarians operate, for the sake of economy, with a reversal (*viparyāsa*) of ordinary usage in this respect: since the object-language is the object of grammar, expressions without *iti* refer to their *form*, and not to their meaning. An expression "quoted", i.e., followed by *iti*, on the other hand refers to its meaning (Ojihara-Renou 1960, 120–1; Staal 1965b).

The meta-language does not only consist of artificial elements, but in addition contains the metarules (*paribhāṣā*) which circumscribe how rules have to be used. A typical *paribhāṣā* discusses the relative strength of various *sūtras* or enunciates general principles regarding the order in which

sūtras have to be applied (discussion and applications: Birwé 1966, 15–18). Many *paribhāṣā* rules already occured in Pāṇini's grammar, but later more complete lists were constructed. The best known treatise dealing with metarules is Nāgojībhaṭṭa's *Paribhāṣenduśekhara* (18th century); it was translated by Kielhorn in 1868–74 and has been recently reprinted (1960; cf. Renou 1940, 12 *note* 1; 1956, 137–149; Rocher and Debels 1960). The consistency of Pāṇini's grammar follows from metarule 1.4.2, which states that in case of contradiction between two rules, the second rule prevails (this requires the rules to be ordered in a specific manner; for details see Birwé 1966, 51–63). The use made of this *paribhāṣā* proves that the Sanskrit grammarians accepted the law of non-contradiction; it was subsequently formulated and adhered to in logic and in the Advaita Vedānta. The law of non-contradiction is, however, not universally adhered to, since its validity depends on the kind of negation used in its formulation (Staal 1962a; cf. 1966a). Finally, mention may be made of the very important discovery by Pāṇini (or by earlier grammarians) of "zero" (Pāṇini 1.1.60 and following). Since zero may perform many functions, various zero-morphemes are distinguished (see, e.g., Shefts 1961, 12–3). Because the discovery of zero in mathematics is also attributed to India, and because Indian culture may be characterized by its emphasis on linguistics in the way Western culture may be characterized by its emphasis on mathematics, it is tempting to assume that the mathematical zero was discovered by scholars who were already familiar with the linguistic zero (Allen 1955). Historical evidence in this respect is, however, totally lacking, and the subject does not seem to have been given the attention it deserves.

2. SYNTAX AND SEMANTICS AT THE TIME OF THE SANSKRIT GRAMMARIANS

While, strictly speaking, semantics belongs to the subject of this survey, a few remarks may be devoted to syntax, especially since the attitude of the Sanskrit grammarians in this respect is not always adequately represented.

Moreover, syntax and semantics are very intimately connected as far as sentences are concerned. As may be seen from several passages already referred to, the Pāṇinīyas deal with words rather more frequently than with sentences. Sentences have however been subjected to linguistic scrutiny from the earliest times. In the *Bṛhaddevatā,* an old work which largely depends on the *Nirukta,* sentences are merely defined as collections of words (Kunjunni Raja 1963, 152). This inadequate definition has subsequently been refined (see below 7 and Matilal 1966). Kātyāyana defined the sentence as *ekatiṅ* 'what possesses one finite verb' (*vārttika* 10 ad 2.1.1; ed. Kielhorn 367.16), a definition that has been much debated.

It is often said that syntactical matters are not given much attention in Pāṇini's grammar. Among the exceptions mention is made of the treatment of nominal composition (cf. Staal 1966b). It is a fact that in the Mīmāṃsā, syntax is specifically dealt with (see below, 3.). But the view that Pāṇini neglected syntax is not tenable. This impression may have arisen because the Sanskrit grammarians never paid much attention to word order, an important syntactical topic in some modern Western languages (e.g., English). But this merely reflects the fact that word order in Sanskrit is free, i.e., that it performs no grammatical function (Staal, 1967, Ch. IV). The grammatical relations which are expressed in sentences are indeed quite independent of word order. These relations have been treated by Pāṇini in the rules dealing with the often described, but generally misunderstood, concept of *kāraka* (for recent contributions see, e.g., Rocher 1964a, b). The indispensability of *kāraka*-relations can only be understood if it is realized that they purport to describe the grammatical relationships which obtain between the words of a sentence — relationships which are quite different from and also independent of the arrangements of the words in a sentence. In fact, these grammatical relationships are characterized by the fact that they need not be manifest in or derivable from the order of the elements (generally: words) in their physical surface-shape. This has puzzled Western interpreters who were used to studying only the surface structure of sentences. Any deeper structure seemed to be vaguely semantic and hence suspect from a narrowly empiricist stand-point. But Pāṇini deals with just

this problem of the "deeper" connections between sentences (or other expressions) which differ from each other in surface structure (for nominal compounds, see Staal 1966b, 171–2). The sentences:

kumbhān karoti 'he makes pots' (4)

and:

(tena) kumbhāḥ kriyante 'pots are made (by him)' (5)

differ not only in inflexion, but also in subject and object. But from a semantical point of view they are related in a very simple way: they express the same meaning. There are close syntactical relationships between sentences like (4) and (5), and also between them and such noun phrases as:

kumbhānām kartṛ 'maker of pots' (6)

and such nominal compounds as:

kumbhakāraḥ 'pot-maker, potter'. (7)

The notion of *kāraka* is postulated in order to deal with the syntactical and semantical relations between expressions like (4)–(7); by introducing this notion, Pāṇini uncovered relations that are nowadays called transformational. In the above case the same *kāraka* relation, i.e., *karman*, is expressed by the object *kumbhān* of (4) (and accordingly by the accusative), by the subject *kumbhāḥ* of (5) (and accordingly by the nominative), by the "objective" genitive *kumbhānām* of (6) and by the first member *kumbha*-of (7).

Since it was generally assumed that he was only interested in surface morphology and phonology, it has not been realized that in the *kāraka* theory Pāṇini was concerned with sentence construction, i.e., with syntax and semantics or with what is nowadays called "deep structure". This conclusion can only be derived, however, if we correctly appreciate the system of *kāraka* relations (Kiparsky-Staal, 1969).

The *kāraka*-theory constitutes the most interesting part of the semantics of sentences dealt with by the Sanskrit grammarians: the analysis of the

deep structure of sentences, which is relevant to both syntax and semantics. The semantics of individual words required separate treatment; this is a matter of lexicography. Pāṇini's grammar is indeed incomplete without the lists of words to which the grammatical rules apply. Such lists were provided in the *gaṇa* 'list' enumerations, of which two types were in existence: the *paripūrṇagaṇa* or complete lists of words that come under the description of a particular rule; and the *ākṛtigaṇa*, which introduce a formal characteristic by means of which it is decided whether a given word comes under the description of a particular rule. The task of reconstructing these lists has recently been undertaken (Birwé 1961). The study of the more traditional dictionaries (*kośa, koṣa*), which had hardly been dealt with since Zachariae (1897), has recently been resumed as well (e.g., Birwé 1965, 1967). The older lexicographical works, in particular the *Nighaṇṭu* and the *Nirukta*, which primarily dealt with Vedic etymologies, have always received the attention of scholars, and continue to be treated in recent publications (e.g., Bhattacharya 1958).

While the relational concepts of subject, object, etc. are treated in the *kāraka*-theory, the major parts of speech were discussed from the *Nirukta* onwards. Its author, Yāska, mentions four parts of speech: *nāman* 'noun', *ākhyāta* 'verb', *upasarga* 'preverb' and *nipāta* 'particle' (see e.g. Brough 1952; Ruegg 1959, 24). While the followers of Gārgya adhered to the priority of the noun, the followers of Śākaṭāyana derived all nouns (or nominal stems) from verbs (or verbal roots); they were followed in this respect by the *Nirukta* and by Pāṇini (Emeneau 1955, 148 rightly emphasized that this priority is a matter of grammatical description, not of historical derivation; Ruegg 1959, 24 has misconstrued this by quoting a passage which introduces priority in a psychological sense, but this in no way affects the issue synchronic/diachronic). Nouns and verbs are defined in semantical terms by the author of the *Nirukta:* a verb is chiefly concerned with *bhāva* 'being and becoming', a noun with *sattva* 'reality' (Brough 1952, Ruegg 1959, 24, Kunjunni Raja 1957). The preverbs have independent meaning according to Gārgya, but according to Śākaṭāyana they depend on the meaning of the verb (Ruegg 1959, 25).

In conclusion we may state that semantics from the linguistic point of view has at no time been neglected: the etymological speculations regarding the Veda were in due course supplemented by the lexicological information contained in the dictionaries and by the syntactico-semantical theory of sentences summed up in the *kāraka*-theory.

In connexion with semantics some final remarks may be made about the so-called controversy of Kautsa (cf., e.g., Renou 1960, 68–75). According to Kautsa's theory the Vedic mantras were meaningless. This doctrine has a ritualist background; it does not seem to have been questioned that the recitation of mantras in the course of the ritual was effective; their meaning as ordinary utterances became redundant. The extreme form in which this thesis was defended scandalized Vedic orthodoxy; a list of counterarguments is provided, for the first time, by the *Nirukta*. These were further developed in the *Mīmāṃsāsūtra*, where Kautsa's arguments are neatly represented in the following terms (1.2.4, *sūtras* 34–8): so often the mantras appear simply absurd; they speak of things that do not exist (e.g., something with four horns, three feet, two heads and seven hands); they address inanimate objects (e.g., herbs and stones); they are self-contradictory and often redundant; there is a tradition for them to be learnt by heart, but no corresponding teaching of their meaning; etc. Accordingly the mantras have to be accepted as strictly meaningless (cf. also Staal, 1967, 24–5, 48). These arguments are then refuted by the author of the *Mīmāṃsāsūtra*. From a semantic point of view it may be observed, that Kautsa's doctrine does not concern a language that is considered meaningless, but rather a corpus of meaningless utterances.

3. MĪMĀṂSĀ THEORIES OF LANGUAGE

The philosophers of the Mīmāṃsā were primarily interested in the Vedic ritual and in its textual base, i.e., in the corpus of utterances provided by the Vedic revelation. This marks an important difference between them and the grammarians: the latter were interested in grammatical sentences, in the

first place of Sanskrit, but also, though often to a less marked extent, of the Vedic language. The distinction between sentence (*vākya*) and utterance (*uccāraṇa*) occurs in the grammatical writings as well, especially in contexts where Pāṇini's enunciations are regarded as *uccāraṇa*. It became widespread in the later logical and philosophical writings. This distinction constitutes an instance of that between type and token. This latter distinction too was recognized in logical and grammatical texts. Patañjali used it when discussing long and short phonemes in the context of his theory of *sphoṭa* (see below) (Biardeau 1964a, 368–9): "Phonemes are fixed, whether produced at high, middle or low speed. But then what causes the distinction in production? The productions are differentiated on account of the fact that the speaker enunciates more slowly or more quickly".[6]

Later such distinctions are found in various contexts and controversies. The philosopher Śaṅkara, for example, criticizes the view, that sounds cannot constitute the word since they disappear after having been pronounced, by saying: "That is not so for they are recognized as the same … Each time the individual sounds are pronounced they are recognized. For the word *cow* pronounced twice is not understood as two different words *cow*".[7]

Ever since the Mīmāṃsā system became known it has drawn the attention of Western scholars on account of some of its more philosophical speculations concerning the nature of language. The topics discussed in this connexion include the eternality of words and the question whether words denote universals or particulars, both dealt with in the *Mahābhāṣya* as well. Apart from such discussions, the Mīmāṃsā also evolved a very original theory of language, which may constitute a uniquely Indian contribution. On the basis of this theory, discussions arose regarding the problem of the relation between words and sentences. Whereas the topics first mentioned have been discussed in the past (e.g., Strauss 1927, 125–51; Jha 1942, 68–76; etc.) and continue to be dealt with in recent publications (e.g., Biardeau 1964a, 155–203), the particular Mīmāṃsā theory of language mentioned last was described in detail, practically for the first time, in Edgerton (1928, 1929), which does not appear to have later attracted the attention it deserves. The theories on the relationship between words and sentences have been

repeatedly discussed in recent publications (e.g., Sastri 1959, 172–217; Bhattacharya 1962, 158–187; Kunjunni Raja 1963, 193–213). Each of these topics requires some elucidation.

The Mīmāṃsā philosophers accepted the Veda as *apauruṣeya* 'not of human origin'; accordingly, they defended the thesis that words are eternal. This thesis is, in fact, like the problem of universals, related to the distinction between type and token. It is argued (circularly, no doubt) in its support that, if each word-utterance were distinct, the utterances could not be recognized as expressing the same word. Mere similarity between the utterances, moreover, will not do. Hearers perceive a present word-utterance as identical with a remembered one; and so the underlying word is eternal. Utterances of words are manifestations of words; they do not produce or create words. Similarly, the meaning of words is eternal, and so is the relation between words and meaning.

Patañjali devoted a long discussion to the question whether words denote particulars or universals. According to Vyāḍi (see e.g. Thieme 1956, 18), the meaning of a word is an individual thing (*dravya*). Patañjali did not accept any view as final, and this would probably be impossible at such level of generality. The terms which in this connection express universality, are *ākṛti* 'specific form', *jāti* 'class' and *sāmānya* 'common character(istic)'. These terms have been frequently discussed, with reference to various texts and systems. With regard to the *Mahābhāṣya* they were most recently studied by Biardeau (1964a, 44–61, from where the translations of the three terms above have been taken; cf. also Sreekrishna Sarma 1957; Thieme 1956, 7–8). The Mīmāṃsā philosophers rejected the view that words denote particulars and assumed that they refer to the *ākṛti* (Biardeau 1964a, 162–77). This is a natural consequence of their belief in the eternality of words. Murti (1963, xiii) has rightly observed that the theory of the eternality of words is the Indian counterpart of the doctrine of Ideas.

The Mīmāṃsā theory of language is best understood against the background of the principal objective of this system, which is to interpret the Vedic ritual from and with the help of the Vedic texts. Therefore, like Kautsa's theory and the theories of other ritualists, it is in origin not so

much a theory of language as a theory concerning the corpus of Vedic utterances. According to Mīmāṃsā (see Edgerton 1928, 1929) the core of the Veda is the collection of injunctions (*vidhi*) to perform specific ritual acts, such as sacrifice. The injunction finds verbal expression principally in an optative verb-form such as *yajeta* 'he shall sacrifice'. This form is divided into the root *yaj*(*i*) and the ending (*e*)*ta*. These two elements are not of equal importance, and yet they are intimately connected; so one must be the principal and one the subordinate element. Since it is through the ending that a word is brought into relationship with other words, the ending cannot depend on the root. In fact the reverse holds: the root depends on the ending. The ending is therefore the heart of the injunctive verb, and hence the heart of the heart of the whole Veda; it expresses what is called *bhāvanā* 'efficient-force'. On closer inspection the ending is seen to express two things: general verbality (*ākhyātatva*) and specific optativeness (*liṅtva*) (note that the term *ākhyāta* 'verb' was taken from ordinary language; for the technical notion of optative no general word was available, so that Pāṇini's artificial term *liṅ* was adopted). The former is expressed by any verbal ending, the latter by optative endings only. The two corresponding efficient-forces are *ārthī bhāvanā* 'efficient-force of the end or goal' and *śābdī bhāvanā* 'efficient-force of the word', respectively. For any verb denotes an action, whereas only the optative is prompted by the Vedic injunction. The former is subordinate to the latter, which therefore is "the ultimate of ultimates, the peg on which the whole system of Vedic duty hangs" (Edgerton 1928, 176).

Just as the optativeness expresses the principal force of the verb-form, the verb-form expresses the principal force of the sentence. Though other words may occur in a sentence, these are essentially complements to the verb, as in:

> *yajeta svargakāmaḥ* 'who desires heaven shall sacrifice'. (8)

In this sentence the *ārthī bhāvanā* has as its end *svargaḥ* 'heaven' and as its means the root-meaning of the verb *yaj*(*i*) 'sacrifice'. Accordingly (8) means:

> *yāgena svargaṃ bhāvayet* 'by sacrifice he shall effect (attain) heaven' (9)

(Edgerton 1929, 7). (Note that contemporary semantic theory is only beginning to describe or explain the semantic relationship between such sentences as (8) and (9)),

This interesting theory has many unforeseen consequences. Mention may be made of the theory of negation as applied to *vidhi* 'injunction'. This is most easily explained when formalization is resorted to (Staal 1962a, b). Let injunctions be expressed by prefixing a modal operator N (expressing optativeness) to indicative sentences written as F(x) (where F expresses verbality). This symbolism clearly represents the distinction between the two kinds of *bhāvanā*. For example, if F(a) stands for "the knot is tied", N(F(a)) will stand for "the knot should be tied" or "tie the knot!". Various negations can now be applied; for the sake of convenience, all will be expressed by means of a single negation symbol, i.e. ~. The negation of the injunction itself, which negates the optativeness and is equivalent to a prohibition (*niṣedha*), may now be written ~ N(F(a)), defined as (~ N)(F(a)) "the knot should not be tied" or "don't tie the knot": Two more negations are possible. Both are varieties of what is called *paryudāsa*, and in the first, the verb is negated: (i) N(~ F(a)), defined as N((~ F)(a)) "the knot should be untied" or "untie the knot"; in the second, the term *a* is negated: (ij) N(F(~ a)) "a not-knot should be tied", which may be interpreted as: "another knot should be tied" or "tie another knot!". The difference may be described by saying that these negations, which may be distinct in kind, are at any rate distinct in scope. Analogous distinctions are made in grammar and in logic, but since these refer mainly to indicative sentences of the form F(x), there are only two possibilities left. An interesting consequence of this theory of negation, which appears to be essentially richer than the Aristotelian theory of negation that is at the background of modern Western theories, is that the logical law of non-contradiction need not be true for each of these types of negation. It is intuitively clear that it does in fact not hold for the second *paryudāsa* negation: one knot may be tied as well as another. In the final analysis this, at first sight curious, state of affairs may be explained by observing, that the law of non-contradiction determines what *we* are used to referring to as negation (cf. Staal 1966a, Appendix).

The Mīmāṃsā theories on the semantic relationship between words and sentences have been studied from different points of view and have also attracted the attention of modern semanticists (e.g., Ziff 1960, 151–2). The two most well-known doctrines are those adhered to by the two main schools of the Mīmāṃsā: for the followers of Prabhākara Guru the meaning of a sentence arises directly from the collection of its words (*anvitābhidhāna*); accordingly words convey no meaning except in the context of a sentence. For the followers of Kumārila Bhaṭṭa, on the other hand, the meaning of a sentence arises indirectly through the retaining of the meanings of the individual words that comprise it (*abhihitānvāya*) (Kunjunni Raja 1963, 193–4). The first view is clearly in accordance with the basic Mīmāṃsā standpoint, according to which the Veda consists of injunctions which do not refer to a reality which is *siddha* 'established', but point forward to a reality which is *sādhya* 'to be established' (cf. Biardeau 1956, Introduction). In that case an injunction as a whole pertains to an end or goal, whereas there is no need for its individual words to have any particular meaning by themselves. The *anvitābhidhāna* doctrine, which could be described as an extreme form of "syncategorematicism", is directly related to the theory of *bhāvanā* or efficient-force. For in the latter theory it had been argued that endings are the principal elements of words because it is through them that words are related to each other. But this argument is valid only if the relationship between words in a sentence is more basic than the words themselves. — It is not known whether the Mīmāṃsakas related these speculations to the *kāraka*-theory, with which, as scholars writing in Sanskrit, they were undoubtedly familiar; there clearly are interesting similarities.

The followers of Prabhākara Guru elucidated their theory by drawing attention to the process by means of which the meaning of words is learned. A child who hears the sentences *gām ānaya* 'bring the cow' and *aśvam ānaya* 'bring the horse', understands in each case the meaning of the entire expression from the context or situation. Only by comparing the distribution he understands that the expression *ānaya* common to both must mean the command to bring, and that the terms *gām* and *aśvam* refer to the two

different animals (Kunjunni Raja 1963, 195–6). — It may in addition be noted that the *anvitābhidhāna* theory, which can account for the results of (verbal) meditation as easily as for the results of ritual activity, is less appropriate in a philosophical context where much attention is devoted to epistemology. For in any such theory, knowledge is expressed by declaratives which refer to established things, not to things-to-be-established. The Advaita Vedānta philosopher Śaṅkara indeed stresses that meditation depends on man, whereas knowledge depends on things. Meditation pertains to what is *sādhya*, but knowledge pertains to what is *siddha* (Staal 1962a, 62–3). Since according to him some of the Vedic utterances deal with what is *siddha* (e.g., the much discussed statement "the earth consists of seven islands"[8]), the philosophers of the Advaita Vedānta cannot accept the view that the meaning of sentences arises directly from the collection of their words; they adopt the alternative view, i.e., *abhihitānvaya* (cf. Biardeau 1956, Introduction).

It seems likely that not only the works of the Sanskrit grammarians, but also the philosophical texts of the Mīmāṃsā, when studied from a linguistic, semantic and logical point of view, will yield many more interesting theories, arguments and pieces of analysis, than may be imagined from the few doctrines referred to in this survey, or even from the relatively numerous theories that have already been made accessible in recent publications. As regards Mīmāṃsā it is more and more realized that earlier Western accounts were rather one-sided on account of the philosophical or epistemological bias of their authors. Kunjunni Raja's work, for example, shows how metaphysical presuppositions are quite irrelevant to many specific theories; Biardeau's work, on the other hand, stresses how specific doctrines may be construed as dependent on metaphysical backgrounds. It is quite obvious, in the context of this approach, that metaphysical prejudices may be Indian as well as Western.

In conclusion of this section a principle of word interpretation already mentioned by Edgerton may be briefly referred to: this principle says that, if we wish to establish the meaning of a word, the conventional, established meaning (*rūḍhi*) is stronger than the meaning based on analysis and

etymological derivation (*yoga*) (e.g., Edgerton 1928, 172–3). Later Mīmāṃsakas and logicians distinguished four classes of words in accordance with the way their meaning is determined: *yaugika* 'derivative' (e.g., *pācaka* 'cook' from *pac-* 'to cook'); *rūḍha* 'conventional' (e.g., *rathakāra*, literally 'chariot-maker', but actually used to refer to members of a particular caste); *yogarūḍha* 'both derivative and conventional' (e.g., *paṅkaja*, lit. 'what grows in the mud', but especially used to denote 'lotus'); and *yaugikarūḍha* 'either derivative or conventional' (e.g., *aśvagandhā*, either lit. 'having the smell of a horse' or used as a name for a particular plant which — as implied by this classification — does not smell like a horse) (Kunjunni Raja 1963, 59–63). These distinctions, though far from precise, are at any rate less vague than the familiar Wittgensteinian slogan that the meaning of a word lies in its use.

4. BUDDHIST VIEWS ON MEANING AND THE NATURE OF LANGUAGE

The later Mīmāṃsā doctrines owed much of their logical force and presentation, though not their content, to the theories of their Buddhist adversaries. While these later Buddhist views on language, which were expressed in Sanskrit, have been studied relatively often, the earlier Buddhist views, which will be referred to first, have only recently been treated from the point of view of the philosophy of language (Jayatilleke 1963). At first sight, these earlier views strike us as altogether different from the theories of the Hindu grammarians and Mīmāṃsakas; it should be borne in mind that this may be partly explained by the fact that the earliest Buddhist writings were not in Sanskrit, but in Pali. It should also be noted that these early Buddhist doctrines did not arise in the Hindu scholarly or sacerdotal milieu, which created the conditions under which linguistic speculation and Mīmāṃsā could develop. Some Buddhist writings in fact represent the orthodox Brahman as a *veyyākaraṇa* (Skt. *vaiyākaraṇa*) 'grammarian' (Jayatilleke 1963, 312).

The early Buddhist texts are given to classification, like many early Hindu writings, and are characterized by a fair amount of (probably religiously effective) repetition. In these early writings much attention was paid to a classification of questions. The existence of a class of meaningless questions was clearly recognized. Four types of questions are given, as in the following text: "A person is not a fit person to debate (or discuss with) if he, when asked a question does not categorically explain a question which ought to be categorically explained, does not analytically explain a question which ought to be explained analytically, does not explain with a counter-question a question which ought to be explained with a counter-question, and does not set aside a question which ought to be set aside"[2] (*Aṅguttara Nikāya* I. 197 in Jayatilleke 1963, 281). In the present context, the semantically anomalous questions mentioned last constitute the most interesting class. Examples of such questions may be taken from ordinary language, e.g. "In which direction has the fire gone?" (as distinct from "In which direction did the fire spread?") or "Is the son of a barren woman white or black?". Alternatively such questions are found in philosophy, e.g. "Are the *skandhas* (the constituents of being[10]) the same as *sattva* (the living being), or are they different?", "Does the saint exist after death?" or "What is decay and death and of whom is this decay and death?" While the question on *skandha/sattva* could be said to contain in a nutshell such works as Ryle's *Concept of mind*, the entire early Buddhist approach constitutes the origination of a kind of analysis which reminds us of British "ordinary language" philosophy. Both proceed in an essentially similar way: specific examples from ordinary language and philosophically interesting cases are discussed, but no general semantic theory is evolved.

Buddhist semantics slowly developed from classifications of the meanings of terms. Many classifications were given by means of dichotomy or binary splits, but splits into three, four, etc., up to ten, are also found. Even more interesting is the fact that it was realized that this system is inadequate since it cannot account for cross-classification, i.e., for such cases as:
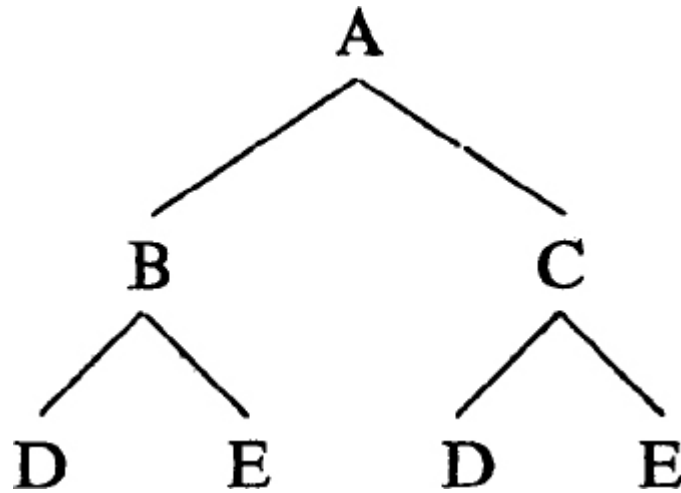
which contains a redundant repetition and is on a par with an alternative which also contains a redundant repetition, i.e.:
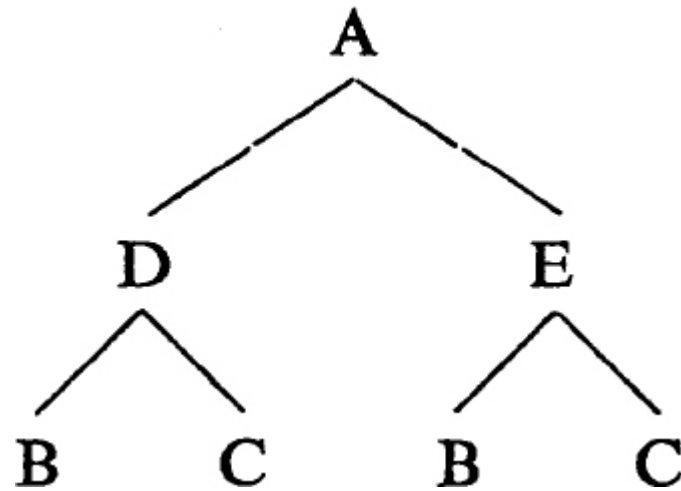
This problem was not solved, but different binary splits for the same lexical item were offered instead. Jayatilleke (1963, 302–3) gives the following examples from *Vibhaṅga* 322–4 (the original terms are here omitted):

knowledge
```
         mundane        supra-mundane
```

knowledge
```
         actual            hypothetical
```

knowledge
```
       cogitative         non-cogitative
```

knowledge
```
      arising          arising         arising from
   from thinking    from testimony    contemplation
```

knowledge
```
   of the mystic              not of the mystic
```
```
        that which one            that obtained
        obtains by hearing        without hearing
        from another              from another
```
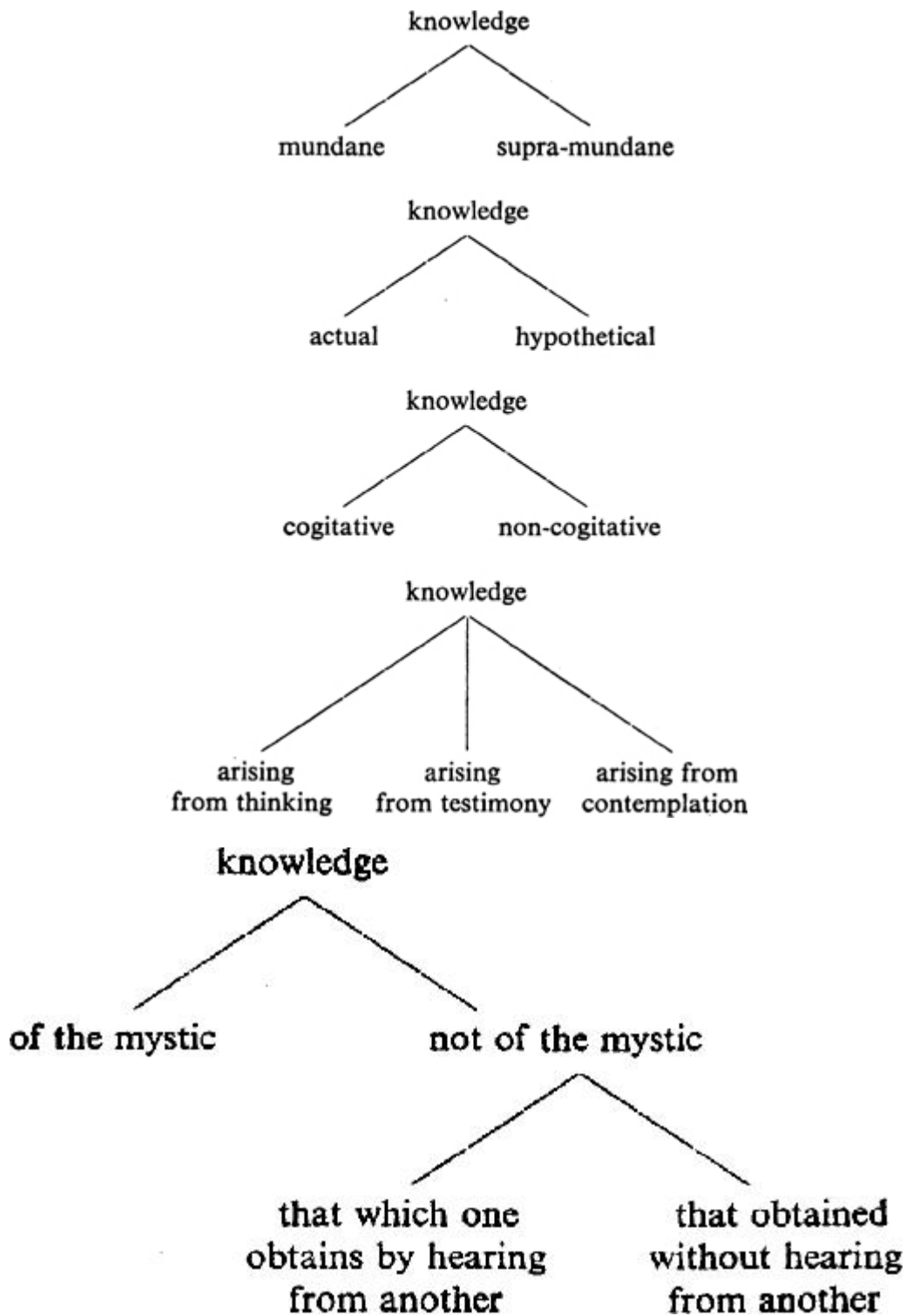
The last tree is not described explicitly but is, according to Jayatilleke, implied. (It may be observed that these classifications in terms of trees are on a level with the semantic trees of Katz, Fodor, and Postal; only in later

work of Chomsky's they were replaced by sets in such a way that cross-classifications are accounted for.)

There was strong opposition against these early classifications, and the nominalist tendencies familiar from Buddhist philosophical literature come out clearly in an opponent's statement that "there do not exist any ideas which can be grouped together by other ideas". Jayatilleke calls this one of the earliest references to the problem of universals. The opponent's views are also expressed with reference to these classifications in terms of trees: one cannot group together ideas by means of other ideas "in the same way as two bullocks may be grouped together by a rope or a yoke" (Jayatilleke 1963, 305).

The nominalist tendency in Indian thought, which was clearly expressed in Buddhism, reacted against the realism that characterizes much of Hindu thought and against the reification that arises in Sanskrit even more easily than in many other languages. This is partly due to nominalization and to such devices of the language as the abstract forming suffixes *-tva* and *-tā* (cf. Staal 1965b). When the Buddhists came to formulate their doctrines in a clearer and more consistent way, they evolved the theory that words connote concepts or mental images (*vikalpa*) and never directly refer to a thing-in-itself.

The early positivistic schools of Buddhist philosophy, such as the Sautrāntika and the Vaibhāṣika, agreed that words are made up of sound-atoms (*śabda-paramāṇu*). According to the Sautrāntika, words are therefore material. But according to the Vaibhāṣika the Buddha's words, at least after his *parinirvāṇa*, are non-material. They held that sound alone is not capable of conveying any meaning; it must operate on something non-material, called *nāman*, in order to convey a meaning. The Sautrāntika on the other hand argue that verbal sound may convey a meaning when it is so agreed by convention (*saṅketa*). Since *saṅketa* is essential even when *nāman* is assumed, the latter is redundant and hence useless (Jaini 1959).

The later Buddhist schools evolved the theory that words connote concepts or mental images (*vikalpa*) and never directly refer to a thing-in-itself, which according to them is a momentary particular or individual

(*svalakṣaṇa*) (Kunjunni Raja 1956, 346). Thus, a theory of meaning was developed from which direct reference was systematically excluded. The meanings themselves cannot refer to momentary individuals, since otherwise there would be as many meanings as there are individuals, and language would become both infinite and superfluous. But neither can a meaning refer to a class (*jāti*), as the Mīmāṃsakas and other Hindu realists assumed: for there need not be one single thing, shared by all individuals belonging to a class (cf. Wittgenstein's "family resemblance"). Moreover if I am told to tie up a cow, I proceed to tie up a particular cow and not the class of all cows (contrast Ryle: "'dog' must denote something which we do not hear barking, namely either the set or class of all actual and imaginable dogs, or the set of canine properties ..."). A meaning, then, is only capable of *excluding* everything else. This is called *apoha* 'exclusion' or *anyāpoha* 'exclusion of everything else'. It is argued that it is immediately clear that such a doctrine is necessary. For if I were told to tie up a cow and the word "cow" failed to exclude other things, I might tie up a horse without noticing that I had failed to understand and obey the command.

The *apoha* doctrine was studied in the thirties by Frauwallner (1930–35, 1937). Apparently due to Diṅnāga (5th century A.D.), it was expounded in Dharmakīrti's *Pramāṇavārttika*. The first chapter of this work has recently been published (Gnoli 1960); the entire work has been translated into English by M. Nagatomi and will be published in the Harvard Oriental Series.

The theory that language is conventional, which may be traced back to the early Buddhist recognition that language has dialects and is subjected to change (Jayatilleke 1963, 315), continued to be adhered to by the Buddhist philosophers. Dharmakīrti links it with the *apoha* theory which implies that the meaning of a word is a conceptual construction. Language, therefore, does not picture or refer to reality. It is merely used for communication (*vyavahāra*) and for practical purposes (*arthakriyā*).

It is known that the probable originator of the *apoha* theory, Diṅnāga, held that in nominal compounds such as *nīlotpala* 'blue lotus' the term 'blue' excludes all lotuses that are not blue, and the term 'lotus' excludes all blue

things that are not lotuses. Kunjunni Raja (1963, 84–5, 191–3) has noted that this doctrine was foreshadowed by the Sanskrit grammarians, since the grammarian Vyāḍi, possibly a younger contemporary of Pāṇini, seems to have held that the meaning of a word in a compound is exclusion (*bheda*) of everything else.

5. BHARTṚHARI'S PHILOSOPHY OF LANGUAGE

A decade ago, Bhartṛhari's *Vākyapadīya*, "l'un des ouvrages difficiles de l'antiquité indienne" (Renou 1953b, 94), was difficult to obtain even in partial editions, had not been translated and had hardly been studied. At present, a considerable amount of literature is beginning to be devoted to this work, starting perhaps with Brough 1951 and including Hacker 1953 (197–205) and the monographs mentioned earlier by Ruegg, Sastri, Pandeya, Kunjunni Raja and Biardeau. The greatest need at present is for more detailed and specialized studies. The *Vākyapadīya* consists of three parts dealing with language in general (*brahman*), sentence (*vākya*) and word (*pada*). The first has been re-edited and — for the first time — translated by Biardeau (1964; cf. Gray 1968) together with the commentary by Harivṛṣabha (whom the 1935 editor Cārudeva Śāstrī identified with, but Biardeau regards as different from, Bhartṛhari himself). Of a complete translation and edition by K. A. Subramania Iyer, parts have now been published by the Deccan College Postgraduate and Research Institute (Poona). Other translations are announced from time to time. A translation made in 1957 by Śānti Bhikṣu Śāstrī exists in manuscript and a critical edition is being prepared by W. Rau (Biardeau 1964b, 21 note). Raghunātha Śarmā has also edited the first part, and written a new commentary in Sanskrit (*Ambakartrī*, Varanasi 1963).

It used to be thought, following the testimony of the Chinese pilgrim Yi-tsing, that Bhartṛhari died in A.D. 651. But since Diṅnāga quotes him, he is nowadays assigned to the fifth century. It has also been thought that Bhartṛhari was a Buddhist; he is now, notwithstanding traces of Buddhist influence, generally considered a Hindu. This may already be inferred from

the mere fact that in his metaphysical linguistics, he identifies the essence of speech (*śabda-tattva*) with the ultimate reality (*brahman*). This doctrine, called *Śabdabrahmavāda*, was further elaborated in the philosophy of *Śabdādvaita* 'non-dualism of speech'.

To describe, even in outline, the main ideas of the *Vākyapadīya* would not only require more space than is available here, but would also presuppose more research devoted to the entire work than has so far been done. Two quotations may suffice to render the flavour of the original and illustrate some of Bhartṛhari's ideas. The first deals with the problem of language learning. Bhartṛhari attributes the faculty of speech to an inborn intuition or instinct (*pratibhā*), for language is not learned. This may be compared to cases of animal instinct: "What makes the cuckoo sing in spring? What teaches the spider to weave its web, or the birds to build their nests? Who teaches beasts and birds to eat, to make love, to fight, to swim, etc., activities practised on account of heredity?"[11] (II.151–2, quoted Brough 1953, 171; Biardeau 1964a, 317; Kunjunni Raja 1963, 148).

The second passage deals with language in a wider context. The term *śabda*, generally translated as "speech" or "word" (and often capitalized to distinguish it from e.g. *pada* 'word'), is here translated as "language". Bhartṛhari says: "Those who know the tradition know that the world is a transformation of language. First this universe arose from the Veda. All proper activity in the world is supported by language. Even a child knows it on account of dispositions acquired in previous lives. The first use of the organs of speech, the setting in upward motion of breath, the striking of the places of articulation only take place when prompted by language. There is no cognition that is not accompanied by it. All knowledge appears to be permeated by language. If knowledge would go beyond its permanent linguistic form, light would not shine, reflexion being due to it. It is the foundation of all the sciences, arts and crafts. On its account all manifest things are distinguished from each other. It is the outer and inner consciousness of all transmigrating beings. In all species awareness is limited to language"[12] (I.120–6, quoted Biardeau 1964a, 317–8; cf. Ruegg 1959, 76; Murti 1963, iii).

In the *Vākyapadīya* one does not merely meet with generalities. Many problems that are more specific are treated also. Aspects of the *kāraka* theory receive a mentalistic interpretation. The cases are regarded as realizations (*sādhana*; Ruegg, misleadingly "accessoires") of the *kāraka* and their use is determined by psychological factors (*bauddhaḥ sādhanavyavahāraḥ*; Ruegg 1959, 67). — Meaning is distinguished from reference: the subject of a sentence need not refer to an external object, for in such sentences as *aṅkuro jāyate* 'the bud bursts forth (from the soil)' there is as yet no bud to refer to. In fact, the subject of a sentence is determined by *prayoga* 'usage' and *vivakṣā* 'intention (of the speaker)' (Ruegg 69). — In the process of communication, the speaker transfers his *śabda* which is without fixed succession (*akrama*), through the medium of sound which has fixed succession (*sakrama*), to the listener where it is again without succession (Ruegg 75). — Bhartṛhari clearly takes sides in the discussion on the relation between word and meaning: this relation is *nitya* 'eternal' and *svābhāvika* 'natural', not based on *samaya* 'convention' (Ruegg 73).

Bhartṛhari's fame used to be largely based on the theory of *sphoṭa*, a concept which in the past was regularly regarded as denoting a mysterious and mystical entity, akin to λόγος in the speculations of Philo Judaeus or early Christianity. The right approach to its correct interpretation has been indicated by Brough (1951), followed by Kunjunni Raja (1963). According to Brough, there is a clear difference between the concepts of *sphoṭa* in the *Mahābhāṣya* and the *Vākyapadīya* (neglected e.g. by Pandeya 1963; cf. also Biardeau 1964a, 368 *note*). Bhartṛhari distinguished between (1) the *sphoṭa* of an expression, which denotes the expression as a single unit conveying a meaning; (2) the *prākṛta-dhvani* of an expression, i.e. the phonological structure assigned to the type it represents; and (3) the *vaikṛta-dhvani*, i.e. the phonetic realization in its particular utterance-token. Various kinds of *sphoṭa* were distinguished: e.g., for *varṇa* 'phoneme'[13], *pada* 'word' and *vākya* 'sentence'. For Bhartṛhari the most important *sphoṭa* and the only one that is ultimately real, is that of the *undivided sentence*. For according to him, the *sphoṭas* of *varṇa, pada*, etc., are merely fictional (*kālpanika*) constructs of the grammarians (Brough 1951, 44). "The division (of a

sentence) into words, and their classification as verbs, nouns, and so on, as well as the subdivisions into roots and affixes, are all means for the study of language, without any absolute reality in themselves" (Kunjunni Raja 1963, 15). Or, as Bhartṛhari puts it himself: "There are no phonemes in the word, and no parts in the phonemes. The words have no separate existence apart from the sentence"[14] (I.73; cf. Biardeau 1964a, 400–20; etc.). This doctrine may be traced back to Audumbarāyaṇa, an old authority mentioned in the *Nirukta* (Brough 1952). In this context, Bhartṛhari discusses at least eight definitions of sentence which have been proposed (Ruegg 1959, 82–9; Kunjunni Raja 1964). This list was widely known, and even more than eight definitions were read into it (e.g. by Jaina philosophers). Later developments of the *sphoṭa*-doctrine are beginning to be known (see especially Joshi 1967).

The *Vākyapadīya* has also been studied in connection with the concepts of *vivarta* and *pariṇāma*, key concepts in the later development of Advaita Vedānta (Hacker 1953, 197–205; cf. Gray 1968). Bhartṛhari used both terms, but indiscriminately (e.g. I.120, quoted above); the fact that the commentator Harivṛṣabha seems to make a distinction between them may, along with other facts, indicate that he and Bhartṛhari were not the same person (Biardeau 1964b, 7–10). We have already seen that the doctrine of the eternality of words required that substitutions are considered as being applicable to entire words only (above page 503). In fact, the *Prātiśākhya* emphasis on *pariṇāma* 'transformation' and the Pāṇinīya emphasis on *ādeśa* 'substitution' may be the predecessors, respectively, of the Sāṃkhya *pariṇāmavāda* (the doctrine that the effect is a transformation of the cause) and the Advaita *vivartavāda* (the doctrine that the effect is an illusory superposition upon the cause). But Kātyāyana had already noted that even the substitution of entire words conflicts with the eternality of words: *anupapannaṃ sthānyādeśatvaṃ nityatvāt* "the replacement of an original by a substitute is impossible on account of the eternality (of words)". Thereupon the theory, perhaps implicit in the *Mahābhāṣya*, of *buddhi-vipariṇāma*, was advanced: it is not the words, but only our subjective awareness of them, that changes (Ruegg 1958, 1959; for Ruegg's criticism of Hacker cf. Staal 1960).

That Bhartṛhari does not distinguish between *vivarta* and *pariṇāma* may also be explained against the background of his ontology (Hacker 1953, 200). Regarding Bhartṛhari's ontology, much has been made of the distinction between three stages of speech, *paśyantī* 'visionary', *madhyamā* 'intermediate' and *vaikharī* (or *virāṭśabda*) 'articulated' (cf. e.g. Sastri 1959, 67–73), artificially related to a well-known verse of the Ṛgveda[15] (cf. Renou 1953a). Though these concepts are discussed in the *Vākyapadīya*, probably out of regard for the tradition, the view that they contain the entire philosophy of Bhartṛhari in a nutshell has nothing to recommend it. Biardeau speaks, in a somewhat similar vein, of *sphoṭa* as the "ontological foundation of language" (e.g., 1964a, 375). But is should not be necessary to point to metaphysics, provided semantics is recognized as a proper department of linguistic research. Bhartṛhari's philosophy is best understood as a metaphysical superstructure to a semantic theory (cf. Kunjunni Raja 1963, 146–8). The semantic theory of Bhartṛhari (who also wrote a commentary on part of the *Mahābhāṣya*, which was to be published under the editorship of the late V. S. Agrawala; cf. Renou 1969, 488, n. 20) can only be understood against the background of the Indian grammatical tradition.

6. VEDĀNTA AND RELATED VIEWS ON LANGUAGE

Though, in the context of the systems of the Vedānta, Bhartṛhari's philosophy of *śabdādvaita* could be characterized as a kind of *bhedābhedavāda* "doctrine of difference and non-difference (between the absolute and the world)" (Hacker 1953, 200), Bhartṛhari is in some respects a predecessor of the well-known Advaita philosopher Śaṅkara. Śaṅkara gives an account of *śabdādvaita* in *Brahmasūtrabhāṣya* 1.3.28 (often translated). Though he accepts the doctrine that the world originates from *śabda*, he first rejects the Mīmāṃsā view that the word is nothing but the phonemes (*varṇā eva śabdāḥ*) (held by Upavarṣa), and subsequently rejects the *sphoṭa* theory. Śaṅkara accepts that a certain number of phonemes in a fixed succession

may through continuous usage have been associated with a certain meaning. The intermediary of an entity like *sphoṭa*, then, is quite redundant: "it would be a more complicated hypothesis to assume that the phonemes, when experienced in a fixed order, manifest the *sphoṭa*, and the *sphoṭa* in its turn manifests the meaning (*artha*)".[16]

Regarding the meaning of sentences the Advaitins accept the doctrine of *abhihitānvaya* of Kumārila Bhaṭṭa (this is in accordance with their general viewpoint: *vyavahāre bhāṭṭanayaḥ* "in matters pertaining to the everyday world the Bhāṭṭa view [is authoritative]"). Some Advaitins interpreted specific doctrines of the grammarians in a purely metaphysical manner, e.g., by stating that Patañjali's view that words denote classes (*jāti*) means that all words ultimately denote the *summum genus* of pure existence (*sattā*), i.e., the absolute *brahman* (*Sarvadarśanasaṃgraha* on *Pāṇinidarśana*).

The problem of the referential capacities of language is discussed particularly in connexion with expressions referring to the absolute. Here Advaita had to reckon with an Upaniṣadic background of negative theology, stressing that the absolute is *neti neti* 'not (this) not (this)' (e.g. *Bṛhadāraṇyakopaniṣad* 2.3.6), or that it is beyond the reach of language, *yato vāco nivartante* 'that from which words return' (*Taittirīyopaniṣad* 2.4). Bhartṛhari had clearly recognized that such expressions are in no way helpful (cf. Wittgenstein): "that which is spoken of as unspeakable, as soon as it is obtained as spoken of by that unspeakability, is spoken of"[17] (III.3.20: Kunjunni Raja 1963, 254).

The Advaitins did not rest content with that but invoked the metaphorical use of language. In such expressions as *tat tvam asi* 'thou art that', which try to express the identity of the self and the absolute, the absolute "is indicated, not spoken of" (*tal lakṣyate na tū'cyate*). According to De Smet, who has studied the methods of theological interpretation used by the Advaitins with regard to such statements, the reference to the absolute is not through the primary meaning (*abhidhā*) of the word, but through its secondary meaning (*lakṣaṇā*). The secondary meaning may exclude the primary meaning (this is called *jahallakṣaṇā*), include it (*ajahallakṣaṇā*), or both include and exclude it (*jahadajahallakṣaṇā*). An example of

jahallakṣaṇā is *dvirepha*, litt. 'with two r's', a term which indicates the bee, because *bhramara* 'bee' has two r's; the primary meaning is here excluded for bees do not have r's. An example of *ajahallakṣaṇā* is *kuntāḥ praviśanti*, litt. 'the lances enter', which is also used to indicate that along with the lances the men who carry them enter. The case of *jahadajahallakṣaṇā* is the one which is appropriate in the context of definitions of the absolute (De Smet 1954, 1960; Kunjunni Raja 1963, 249–54).

The distinction between primary and secondary meaning is not confined to Advaita. On the contrary, it is very commonly met with among grammarians and philosophers, while it provides the foundation for the science of poetics (*alaṅkāraśāstra*). Patañjali had already referred to primary and secondary meanings as *mukhya* and *gauṇa*, respectively. Bhartṛhari spoke about transfer of meaning (*upacāra*). The term widely adopted in later times is *lakṣaṇā*, which may be translated as 'metaphor'. A third component, added by Ānandavardhana in the ninth century, is *dhvani* or *vyañjanā* 'suggestive power'. The perception of *dhvani* is not open to all: one has to be a connoisseur and have at one's disposal a special intuition, called *pratibhā* (the term Bhartṛhari used for the intuition which all language users need in order to grasp the meaning of a sentence) (Sastri 1959, 244–64; Pandey 1963, 693–732). The concepts of *lakṣaṇā* and *dhvani* have been described in detail by Kunjunni Raja (1963, chapters VI and VII), and are further analysed in the literature on poetics and aesthetics (e.g., De 1960, Kane 1961, Pandey 1959, 1963, Raghavan 1963, Renou 1961). But the field of Sanskrit poetics is large and cannot be done justice to in the present context.

There are many links between Sanskrit poetics and literary theory and criticism on the one hand, and some philosophies of Kashmir Śaivism on the other. The philosophical views of this school are in many respects reminiscent of Bhartṛhari (cf. e.g. Ruegg 1959, 101–16). Here it must suffice to state that Kashmir Śaivism considered its doctrine as a manifestation of the god Śiva in the medium of language (*vāk*). The universe consists of two regions: *vācya* 'to (be) spoken (of)' (cf. *signifié*) and *vācaka* 'speaking' (cf. *signifiant*). While both aspects coincide in Śiva, *vācya* corresponds to the

objective substance of the world whereas *vācaka* corresponds to conscious beings. This metaphysical dualism was on the one hand connected with traditional grammatical and semantic doctrines, but on the other hand developed into poetics and literary theory.

The later developments of the systems of the Vedānta will probably contain much material that is relevant to the philosophy of language. These developments however have not been studied from this particular point of view, and have in fact hardly received the philosophical attention they seem to deserve. There is no evidence to support the view that they contain little that is new and original; the opposite could be expected in view of the later developments of logic (in *navya-nyāya*) and of grammar (in *navya-vyākaraṇa*) (cf. Renou 1953b).

An example of an interesting passage from later Vedānta occurs in the *Pramāṇacandrikā*, a fourteenth or fifteenth century text on logic and epistemology from the Dvaita (Mādhva) school. Its unknown author advocates the view that language is learned by means of a kind of ostensive definitions and by distributional analysis: "The acquisition of meaning takes place by pointing (*nirdeśa*) accompanied by showing etc. the fingers. Thus when a child sits on the lap of its father or mother, the parent begins to draw its attention which is elsewhere to himself or to his words by showing the fingers and making a sound by snapping them, while uttering the sentences 'Child, that is your mother', 'That is your father', 'That is your brother', 'He eats the banana', etc. Then by that pointing the child learns and understands that the expressions and the expressed are related in a *general* way and that a certain combination of sounds corresponds with a certain combination of meanings. Later when hearing in different circumstances 'That is your sister', 'That is your friend', 'He is eating a cake', he begins to learn the different meanings of words by adding and removing, and so learns the *specific* relations between expressions and expressed, e.g., that the word 'mother' denotes the female parent".[18]

In this section only a few of the Vedānta doctrines concerning the philosophy of language could be illustrated. Poetics was merely touched upon. It may be noted, finally, that semantics was an important topic not

only for poetics. Some of the greatest Sanskrit poets themselves paid attention to word and meaning, as may be seen from the opening verse of Kālidāsa's *Raghuvaṃśa* (Ruegg 1959, 110): "I salute the world parents Śiva and Pārvati, united like word and meaning, in order to acquire word and meaning".[19]

7. NYAYA-VAIŚEṢIKA DOCTRINES OF LANGUAGE AND THE LOGICAL ANALYSIS OF SENTENCES

The early Nyaya-Vaiśeṣika is essentially a philosophy of *padārtha*, a term which means "a thing (*artha*) to which a word (*pada*) refers", i.e., "a referent" (Potter 1957) and which is customarily rendered as "category". As in Aristotle, the categories of language are related to the parts of speech and are at the same time regarded as categories of being. In order to determine what a category is and what it comprises, linguistic usage (*vyavahāra*) is generally invoked (Murti 1963, iii). That the categories have to be explained against the background of language was pointed out long ago by Faddegon (1918, 141–5), but since then this rather promising suggestion has not received a more detailed treatment. The relationship between the *padārtha*-system and the *kāraka*-theory also ought to be elucidated (cf. Staal 1967, 44–5).

What are the things to which words refer? The early Naiyāyikas accepted the realistic theory that words sometimes refer to individuals (*vyakti*) and sometimes to universals (*ākṛti, jāti* or *sāmānya*). Metaphorical usage (referred to by means of the term *upacāra* 'transfer') is also recognized. The later Naiyāyikas hold the view that a word refers to an individual as qualified by a class (*jāti-viśiṣṭa-vyakti*).

The Nyāya philosophers gradually came to study logical laws and rules. Some of these may be traced back to earlier rules in grammar, and in particular to the *paribhāṣā-rules*. The terms *paribhāṣā* and *nyāya* are sometimes regarded as synonyms (*Paribhāṣenduśekhara* ed. Kielhorn iv,

note). Such grammatical backgrounds have been found e.g. for the laws of contradiction and double negation (Staal 1962a) and for the law of contraposition (Staal 1962c).

During many centuries the logicians and the Mīmāṃsā philosophers have been engaged in discussions with each other and with the grammarians concerning the definition of the sentence. Starting from the naïve definition of sentence as a collection of words, or from the definition of sentence as that which possesses one finite verb (see above page 506), the Mīmāṃsakas added qualifications such as the requirement of *ākāṅkṣā* 'mutual (syntactic) expectancy'. Applying this criterion, a mere string of words ("cow horse man elephant") is not a sentence, but a "grammatical" sentence such as "he irrigates it with water", is. However, according to this criterion, "he irrigates it with fire" is also a sentence, for it is quite grammatical. Hence *ākāṅkṣā* is not a sufficient condition for a string of words to be a sentence. Another requirement was added accordingly, i.e., *yogyatā* 'semantic compatibility', which is lacking in the sentence "he irrigates it with fire". Bhattacharya (1962, 141) quotes another example of a grammatical sentence, i.e. a sentence fulfilling the condition of *ākāṅkṣā*, which does not answer this requirement, i.e. which is semantically anomalous: "There goes the barren woman's son with a chaplet of sky-flowers on his head. He has bathed himself in the waters of a mirage and is holding a bow of rabbit's horn".

As a further condition, *āsatti* or *saṃnidhi* 'contiguity' was required, which postulates that words do not constitute a sentence when they are uttered at long intervals or when they are separated by other words, even if *ākāṅkṣā* and *yogyatā* hold. Finally, the discussion was sometimes extended to *tātparya* '(speaker's) intention', but there was much difference of opinion with regard to this concept (Chatterjee 1950, 336–40; Brough 1953, 163; Kunjunni Raja 1963, 151–87).

The later Naiyāyikas held interesting theories with regard to the understanding of sentences and analysed sentences in a special way. According to them, a sentence, i.e. a string of words which possesses *ākāṅkṣā, yogyatā* and *āsatti*, generates a cognition of its meaning (*śabdabodha*) in the hearer. The semantic contents of this cognition may be

expressed by a paraphrase of the original sentence. This paraphrase is described in terms of the relation between a qualificant (*viśeṣya*) and a qualifier (*viśeṣaṇa* or *prakāra*). A complete semantic theory, at least for declarative sentences, is constructed in terms of this relation of predication (Matilal 1966).

Matilal gives the following example of the paraphrase of the sentence: *raktaṃ puṣpam* 'the flower is red'. This paraphrase represents a cognition of the qualificand "flower" qualified by the qualifier "red". All such paraphrases may be expressed by using the symbolism Q(*xy*) for "*x* which is qualified by *y*". The procedure, which is relatively uninteresting in the case of purely nominal sentences, becomes more interesting when sentences contain one finite verb. In that case the convention is adopted, that the subject expresses the qualificand. The sentence: *harir vihagam paśyati* 'Hari sees a bird' therefore receives the paraphrase: *vihaga-karmaka-darśanānukūla-kṛti-mān hariḥ* 'Hari is qualified by effort generating the activity of seeing which has a bird as its object'. This may be re-written as: "Hari is qualified by effort which is qualified by the activity of seeing which is qualified by the object bird". If *h* stands for "Hari", *k* for *kṛti*, *s* for "seeing" and *b* for "bird", this paraphrase may be represented by: *Q(hQ(kQ(sb)))*.

While the logicians held the view that the chief element of the sentence is a noun (e.g., the subject), the grammarians continued to believe that the chief element of the sentence is a verb. The old controversy between the followers of Gārgya and those of Śākaṭāyana (above page 508) re-emerges as it were in a more sophisticated form. The later grammarians considered the finite verb as the chief qualificand in their paraphrase. The sentence: *harir vihagam paśyati* would then receive the following paraphrase: *vihaga-karmaka-darśanānukūla-vyāpāro hari-kartṛkaḥ* 'the operation generating the activity of seeing which has a bird as object is qualified by Hari as its doer (i.e., is done by Hari)'.

Though these semantic theories have in their main outline been made available by Matilal (1966), it is likely that they deserve much closer study. It seems that they have been worked out in great detail, and that variations and possible counter-examples were taken into account. This was most

probably due to the continuing debates between the later logicians and grammarians.

The above survey has shown that there is no single Sanskrit philosophy of language. On the contrary, during roughly two and a half millenia a great variety of linguistic theories and speculations, and many systems of semantics were put forward and were sometimes developed in detail. The linguistic tradition of the Sanskrit grammarians remains the backbone of these developments. But the philosophers of the Mīmāṃsā, the logicians of the Nyāya (especially in later times), the Buddhists and the Jains (who have hardly been mentioned in the present account) have each contributed original and important viewpoints and investigations. While something is known with regard to each of them, much remains to be done, and it may be safely assumed that future research will yield unexpected results not only in matters of detail, but also in matters of principle. This assumption is not gratuitous, for there are many indications which show that the philosophy of language (in the sense here used) is one of those fields where India has — in bulk, variety, and depth — at least as much to offer as the West (not necessarily excluding its present-day attainments).

While all of the topics mentioned, and many that have not even been touched upon, stand in need of further elucidation, the following may perhaps be mentioned as the most important desiderata for future research. Though the content of the Prātiśākhya literature is partially known (Varma 1961², Allen 1953), their methodology requires closer study. Despite good modern studies (e.g. Shefts, Birwé 1966), Pāṇini's method requires closer and less incomplete investigation. The possibilities of formalization should also be explored. With regard to many specific but fundamental points (e.g. the *kāraka* theory), Pāṇini's treatment has been analysed only partially. From Patañjali onwards, excellent work has been done (e.g. by Kielhorn, Renou, and Thieme), but it covers only a small part of the grammatical tradition. The *Mahābhāṣya* itself has not been translated, and almost none of the later grammatical works have. With regard to Mīmāṃsā, the interesting work of Edgerton, providing detail and precision concerning one particular topic, has not been carried on. The subject in its entirety is receiving less attention

than formerly, even in India. The linguistic theories and speculations of the early Buddhists have been referred to by Jayatilleke. But the very extensive later developments, about which fairly much is now known, have hardly been studied from the particular point of view of the philosophy of language. It may however be especially interesting, as languages other than Sanskrit are involved.

Biardeau has satisfied a long felt need by providing an edition and translation of the first chapter of the *Vākyapadīya*. This is being supplemented by the work of the foremost Indian authority on Bhartṛhari, Subramania Iyer. The doctrines of Bhartṛhari have recently been treated from many points of view. But that we are only at the beginning may be inferred from the fact that there is no communis opinio (e.g. between Biardeau and Kunjunni Raja) even with regard to basic issues. Of the later grammatico-philosophical development, the *sphoṭa* doctrine has been studied by Joshi, but much else remains inaccessible. Of later Vedānta little is known, even in a purely philosophical domain; with regard to "modern" logic (*navya-nyāya*) we are in a slightly better position. But the discussions between modern logicians and modern grammarians will have to be subjected to closer scrutiny, as Matilal's investigations have shown. As regards the older Nyāya-Vaiśeṣika, its origination from a background of linguistic research should be studied. The relationships between the categories and the *kāraka*-theory of the grammarians on the one hand, and the parts of speech of Sanskrit on the other, have not received due attention. Such investigations may throw light on some purely logical and philosophical problems. The general problem, lastly, of the relations of views on the nature of language and meaning, and on philosophy in general, to the particular linguistic background of Sanskrit, is a virtually unexplored topic.

The results of recent research make it clear that future investigations will have to be carried out not only by Sanskritists, linguists, and philosophers, but also by both Western and Indian scholars; direct cooperation is even more desirable, for the subject remains a difficult one (in fact, some of the best results have been reached by Western scholars trained by Indian paṇḍits). With regard to all these investigations, Emeneau's statement of

1955 (quoted above page 500) continues to be valid: "… the results are likely to be worth the effort; it is a subject that can be recommended to aspirants".

1 *athaitasmiñ śabdopadeśe sati kiṃ śabdānāṃ pratipattau pratipadapāṭhaḥ kartavyaḥ / gaur aśvaḥ puruṣo hastī śakunir mṛgo brāhmaṇa ity evam ādayaḥ śabdāḥ paṭhitavyāḥ / nety āha / anabhyupāya eṣa śabdānāṃ pratipattau pratipadapāṭhaḥ / evaṃ hi śrūyate / bṛhaspatir indrāya divyaṃ varṣasahasraṃ pratipadoktānāṃ śabdānāṃ śabdapārāyaṇaṃ provāca nāntaṃ jagāma / bṛhaspatiś ca pravaktendraś cādhyetā divyaṃ varṣasahasram adhyayanakālo na cāntaṃ jagāma / kiṃ punar adyatve yaḥ sarvathā ciraṃ jīvati sa varṣaśataṃ jīvati … tasmād anabhyupāyaḥ śabdānāṃ pratipattau pratipadapāṭhaḥ / kathaṃ tarhīme śabdāḥ pratipattavyāḥ / kiṃcitsāmānyaviśeṣaval lakṣaṇaṃ pravartyam …* (ed. Kielhorn 5.23–6.3).

2 *sarve sarvapadādeśā dākṣīputrasya pāṇineḥ / ekadeśavikāre hi nityatvaṃ nopapadyate //* (ed. Kielhorn 75.13–14).

3 *mahān hi śabdasya prayogaviṣayaḥ* (ed. Kielhorn 9.20).

4 *ardhamātrālāghavena putrotsavaṃ manyante vaiyākaraṇāḥ: Paribhāṣenduśekhara* 122.

5 *anubandho'nyatvakara iti cet tan na / kiṃ kāraṇam / lopāt / lupyate'trānubandhaḥ / lupte'trānubandhe nānyatvaṃ bhaviṣyati / tad yathā / katarad devadattasya gṛham / ado yatrāsau kāka iti / utpatite kāke naṣṭaṃ tadgṛhaṃ bhavati / evam ihāpi lupte'nubandhe naṣṭaḥ pratyayo bhavati // yady api lupyate jānāti tv asau sānubandhakasyeyaṃ saṃjñā kṛteti / tad yathā / itaratrāpi katarad devadattasya gṛham / ado yatrāsau kāka iti / utpatite kāke yady api naṣṭaṃ tadgṛham bhavaty antatas tam uddeśaṃ jānāti //* (ed. Kielhorn 84.21–85.3).

6 *avasthitā varṇā drutamadhyamavilambitāsu / kiṃkṛtas tarhi vṛttiviśeṣaḥ / vaktuś cirāciravacanād vṛttayo viśiṣyante /* (ed. Kielhorn 181.14–5).

7 *tan na ta eveti pratyabhijñānāt … varṇavyaktaya eva … pratyuccāraṇam pratyabhijñāyante / dvir gośabda uccārita iti hi pratipattir na tu dvau gośabdāv iti* (*Brahmasūtrabhāṣya* 1.3.28, ed. Nirṇayasāgara, Bombay 1934, 256).

8 *saptadvīpā vasumatī* (quoted e.g. *Brahmasūtrabhāṣya* 1.1.4, ed. Nirṇayasāgara 69).

9 *sacāyam … puggalo pañhaṃ puṭṭho samāno ekaṃsa-vyākaraṇiyaṃ pañhaṃ na ekaṃsena vyākaroti, vibhajja-vyākaraṇīyaṃ pañhaṃ na vibhajja vyākaroti, paṭipucchā-vyākaraṇiyaṃ pañhaṃ na paṭipucchā vyākaroti, ṭhapanīyaṃ pañhaṃ na ṭhapeti, evaṃ santāyam … puggalo akaccho hoti.*

10 i.e. *rūpa* 'bodily form', *vedanā* 'sensation', *saṃjñā* 'perception', *saṃskāra* 'disposition' and *vijñāna* 'consciousness'.

11 *svaravṛttiṃ vikurute madhau puṃskokilasya kaḥ / jantvādayaḥ kulāyādikaraṇe kena śikṣitāḥ // ākāraprītyabhidveṣaplavanādikriyāsu kaḥ / jātyanvāyaprasiddhāsu prayoktā mṛgapakṣiṇām* (cf. Chomsky and Halle speaking about the mental abilities that underlie the achievement of normal linguistic competence, "abilities that may be as individual and species-specific as that of a bird to learn a particular class of songs, of a beaver to build dams, or of a bee to integrate its own actions into the intricate social activity of the hive": *Preface* to the series *Studies in Language*).

12 *śabdasya pariṇāmo'yam ity āmnāyavido viduḥ / chandobhya eva prathamam etad viśvaṃ vyavar-tata // itikartavyatā loke sarvā śabdavyapāśrayā / yāṃ pūrvāhitasaṃskāro bālo'pi pratipadyate // ādayaḥ karaṇavinyāsaḥ prāṇasyordhvaṃ / samīraṇam / sthānānām abhighātaś ca na vinā śabdabhāvanām // na so'sti pratyayo lokṉ yaḥ śabdānugamād ṛte / anuviddham iva jñānaṃ sarvaṃ śabdena bhāsate // vāgrū patā ced utkrāmed avabodhasya śāśvati / na prakāśaḥ*

prakāśeta sā hi pratyavamarśini // sā sarvavidyāśilpānāṃ kalānāṃ copabandhanī / tadvaśād abhiniṣpannaṃ sarvaṃ vastu vibhajyate // saiṣā saṃsāriṇāṃ saṃjñā bahir antaś ca vartate / tanmātrām avyatikrāntaṃ caitanyaṃ sarvajātiṣu //

13 Though Thieme (*ZDMG* 107.665–666 [1957]) has shown that *varṇa* often denotes a class of phonemes, one must agree with Ruegg (*JAOS* 82.67 [1962]) as against Shefts (*JAOS* 80.259 [1960]) that this need not be so in all contexts.

14 *pade na varṇā vidyante varṇeṣv avayavā na ca / vākyāt padānām atyantam praviveko na kaścana //*

15 ṚV 1.164.45: *catvā́ri vā́k párimitā padā́ni tā́ni vidur brāhmaṇā́ yé manīṣíṇaḥ / gúhā trī́ṇi níhitā néṅgayanti turī́yaṃ vācó manuṣỳā vadanti* 'language is measured in four quarters; learned brahmans know it. The three hidden quarters they don't set in motion; people speak the fourth'.

16 *varṇāś ceme krameṇa gṛhyamāṇāḥ sphoṭaṃ vyañjayanti sa sphoṭo 'rthaṃ vyanaktīti garīyasi kalpanā syāt* (*Brahmasūtrabhāṣya* 1.3.28, ed. Nirṇayasāgara 259–260).

17 *avācyam iti yad vācyaṃ tad avācyatayā yadā / vācyam ity avasīyeta vācyam eva tadā bhavet //*

18 *śaktigrahaś cāṅguliprasāraṇādipūrvakanirdeśenaiva bhavati / tathā hi mātuḥ pitur vā aṅke sthitaṃ bālam anyamanaskaṃ santam aṅguliprasāraṇachoṭikāvādanābhyāṃ svavacanaśravaṇābhimukhaṃ mātrādyabhimukhaṃ ca vidhāya yadā vyutpādayitā vākyaṃ prayuṅkte bāla taveyaṃ mātā tava pitāyaṃ te bhrātāyaṃ kadalīphalam abhyavaharatityādi / tadā tena nirdeśenaiva tasya śabdasamudāyasya tasminn arthasamudāye vācyavācakabhāvasambandhaṃ tāvat sāmānyato'vagacchati bālaḥ idam anenāyaṃ bodhayatīti / punar iyaṃ te svasā, ayaṃ te sakhā'pūpaṃ khādatītyādiprayogāntareṣu śabdārthayor āvāpodvāpābhyāṃ śabdabhedādikam avagamya mātrādipadānāṃ jananyādau viśeṣato vācakatvam avagacchatīti* (Maitra 1936, 107–108, 159–160).

19 *vāgarthāv iva saṃpṛktau vāgarthapratipattaye / jagataḥ pitarau vande pārvatīparameśvarau //*

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Some Indian Theories of Meaning

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IN a paper to the Society in 1951,[1] I gave some account of ancient Indian theories on the relationship between sounds and meaningful words which is summed up in the doctrine of *sphoṭa*. The present paper is intended to supplement that discussion and to indicate those aspects of Indian theory on the more general topics of meaning which I feel preserve the greatest interest for modern linguistic theory.

One of the earliest pieces of practical linguistics of which we have any record is the composition of the *pada* text of the Ṛgveda. This is an analysis of the *saṃhitā*, or connected text as uttered in recitation, into its constituent words in the form in which they would appear in isolation. This involved the resolution of the rather complicated junction-features which the connected Sanskrit sentence exhibits, and in many places the *pada* text did in fact amount to an interpretation at a time when the connected text was beginning to suffer from obscurity. Alongside this analysis of words from the sentence there was developed the study of the meanings of the words thus derived, and the results of this etymological study is summed up for us in the *Nirukta* of Yāska. It is clear that just as phonetics arose in India chiefly as a means to preserve the mode of utterance of the Vedic hymns, so the study of words and of the meanings of words was undertaken in the first place primarily to meet the needs of Vedic ritual and the text material required by it. It was thus on a basis of words and of word-meanings that the study of Vedic exegesis took shape in what was later known as the Mīmāṃsā school of philosophy. And, indeed, throughout the development of Indian linguistic thought, the relationship between word and sentence,

between the word-meaning and the sentence-meaning, remains a central problem. The Mīmāṃsā school developed elaborate canons of interpretation, and this organized body of linguistic doctrine later played an important part in the discussions of lawyers when interpreting legal injunctions, and on the other hand did much to stimulate the development of logic. In passing, one might note that the Mīmāṃsā preoccupation with the injunctions of Vedic texts with regard to religious duties was not without its effect on logical theory. The typical sentence with which they are concerned is in the imperative mood, and although later Indian logic deals largely in indicative sentences, the linguistic thought of philosophers in India was not so strictly confined to indicative propositions as that of logicians in the west. This influence can be traced in the terms *vidhi* and *pratiṣedha*, originally meaning injunction and prohibition, but in later texts occasionally used also to apply simply to positive and negative statements.

I do not propose here to give a detailed account of all the types of definitions of a sentence which occur in Indian writings ; but mention should be made of the main types. As early as the *Kātyāyana-śrauta-sūtra* the Mīmāṃsā type of definition appears, in a purely ritual manual. A sentence, it is said, is that which is *nirākānkṣam*[1]: that is to say, something which has no requirement or expectation of words outside itself to complete its meaning. It is, of course, realized that the expectancy which holds between words in the sentence is a grammatical one, since, for example, a sentence containing a pronoun requires the evidence of a neighbouring sentence to identify the pronoun. Accordingly a commentator on this passage interprets the rule which follows, *mithaŋ saṃbaddham* "it is mutually linked (with other sentences)" to mean that it may be necessary to complete the meaning of the sentence by understanding words from preceding sentences. The fact that the requirement of *ākānkṣā* is a grammatical one was not always fully understood and we find even Bhartr̥hari criticizing the Mīmāṃsā definition on the grounds that its *ākānkṣā* would imply that a passage of several grammatical "sentences" would have to be considered as one sentence.[1] Later the normal statement of the conditions for a sentence is that it must be a collection of words

possessing *ākānkṣā*, *yogyatā* and *āsatti*. In effect, however, it is only the first which is of real linguistic importance. It is the desire or requirement of an individual word or words in the sentence for others to complete the meaning, the factor which distinguishes a sentence from a string of words "cow horse man elephant". The second factor, *yogyatā*, really involves a judgment on the truth or falsity of a statement, or the sense or nonsense of a sentence. The example quoted most frequently as a breach of this condition is "He wets it with fire". Into this category also fall such logical puzzles as "the round square". The third condition, *āsatti* or *saṃnidhi*, is that the words should be contiguous in time. It is said that words uttered with the interval of a day intervening between each word cannot produce a sentence. This again is not a linguistic condition. It is of course only to be expected that the early stages of linguistic theory in India, as elsewhere, should show a certain *naïveté* and it is not surprising to find generally current in Indian philosophy, outside the writings of the professional grammarians, the idea that an individual word possesses an individual word-meaning or, in the case of nouns, that the word is the name of a thing. This view is fossilized in the regular philosophic term for thing or object, namely *padārtha*, literally "meaning of a word, that which a word means".

The two main schools of the later Mīmāṃsā were sharply opposed in their theories of the sentence. The Bhāṭṭa school on the whole seems to preserve the more primitive attitude. According to them words have in themselves meanings, and as the words are uttered in a sentence, each word performs its task of expressing its meaning, and the sentence is the summation of these meanings. The Prābhākara school, on the other hand, held the more sophisticated theory that the individual words did not express any meaning until they were united together into a sentence. This was upheld by an appeal to the method whereby a child learns its own mother tongue. They pointed out that it was by hearing sentences "fetch the cow", "fetch the horse", and so forth, that the child came gradually to understand that the animal which he saw on each several occasion was, in fact, either a cow or a horse and that the action performed by his elders was the act of fetching. These two views were named respectively *abhihitānvaya-vāda* and

anvitābhidhāna-vāda, terms which are troublesome to translate by concise English expressions. Roughly speaking, the first is the theory that the sentence is "a series of expressed word-meanings", and the second is that the sentence is "the expressed meaning of a series (of words)".

At the beginning of the second book of the *Vākyapadīya*, Bhartṛhari gives a list of definitions and quasi-definitions of a sentence. Five of these are grouped by the commentator under the traditional Mīmāṃsā designations. Thus the view that the sentence is a unified collection (*saṃghāta*) and the view that it is an ordered series (*krama*) are aspects of the *abhihitānvaya-vāda* ; while the other three belong to the *anvitābhidhāna-vāda*. These are, that the sentence is defined by a verbal expression (*ākhyāta-śabda*) or by the first word (*padam ādyam*) or by all the words taken separately with the feature of mutual requirement or expectancy superadded (*pṛthak sarvapadaṃ sākānkṣam*). All these views, of course, imply the feature of expectancy, and the first and second are to be explained with reference to this feature, since the verb or the first word is only what it is in view of its ties with the other words in its own sentence. All these theories are adversely criticized by Bhartṛhari and they need not be considered in detail here. They are none the less of some interest as evidence of very vigorous argument and debate on linguistic topics in ancient India.

All these earlier discussions on the nature of the sentence accept without question the fact that there are such things as words (*pada*), and that it is possible to attribute to these words something which can be called their meaning (*artha*). The most developed theory, namely that of the *anvitābhidhāna-vāda*, did to some extent foreshadow the later development in the grammatical schools, since it denied that the words conveyed a meaning except in the context of a sentence. Like the other views, however, this theory continued to regard the words as real and actual constituents of language. They were the units which in fact operated in linguistic communication, and since they were actually present, it merely remained for the grammarian to detect their presence by means of a grammatical analysis. The statement of procedure is quite in accordance with many

modern statements. Thus a root or suffix is analysed out on the basis of a paradigm, and complete words were recognized on the basis of substitution in sentences. It remained for the professional grammarians, of whom Bhartṛhari is the leading ancient spokesman, to draw attention to the fact that although this process of analysis could give some account of language from the formal aspect, and though it possessed a distinct value for teaching and for the explanation of texts, it was entirely inadequate as a basis for a theory of language-meaning. To Bhartṛhari and his school words were, in fact, artificial constructions of the grammarian, and looked on from the point of view of language functioning in the world, they were unreal (*asatya*).

This extraordinary relegation of words to the realm of fictions is not at all easy to grasp at first sight, and I hope I may be pardoned if I dwell at some length on this topic, since it seems to me of considerable importance for fundamental linguistic theory, and hence also for philosophy, in so far as the latter may be a "critique of language".

It is, of course, a commonplace in modern linguistics that the sentence is the primary datum. But such a statement may imply no more than an attitude comparable with the *anvitābhidhāna-vāda*. I suspect that it is the latter type of view which is often implicit in statements described as "analysis at the word level".[1] It demands something of an effort for the beginner brought up on an alphabetic system of writing to appreciate fully that a word is not a succession of letters or phonemes or segments which are then rammed together—"realized" has been a popular term in this connection. But on the contrary the word is what it is, and any account in terms of syllables, letters, phonemes, segments, prosodies, is merely an analysis, an attempt at *description* which may be more or less adequate. A similar effort, though perhaps a still more difficult one, is required to grasp the significance of Bhartṛhari's theory of the unreal nature of words. It is important to realize that this theory is not derived from *a priori* speculation, but is the result of a careful examination of what happens when we speak or listen in ordinary conversation. We do not in fact express ourselves or understand what is spoken in a series of meaning-units. After a sentence has

been understood we may look back at it, analyse it into words, and maintain that we discern words in it. But if we do so during the course of the utterance itself, we are apt to lose the meaning of the sentence. The situation is perhaps analogous to the experience which some of us had at the recent International Congress of Linguists (London, 1952) when Professor Delattre played to us records of series of synthetic vowels, each vowel being made up of two musical formants. According to the method of focusing the attention, one could hear the record either as a series of vowels or as two converging musical scales, but not as both simultaneously. The essence of the matter lies in discriminating clearly between language in operation, and language-material considered and described by a grammarian. Bhartṛhari's view is simply that words and "word-meanings" belong to the latter sphere. They constitute an apparatus (not necessarily adequate) for the description of language events, but (roughly speaking) do not themselves "exist" in the events described.

This theory of the non-reality of words not unnaturally met with strong opposition from other Indian philosophers, and Bhartṛhari provides us with a number of the arguments which they brought against it. Typical of these is the argument from our experience of sentences which contain an unknown word. If for example a townsman, who has not previously heard of the bird in question, hears the sentence, "Fetch a cuckoo from the woods," he instinctively assumes that he has not understood the sentence because he does not know the word "cuckoo"; and as the objector points out, he does know the words "Fetch … from the woods". On Bhartṛhari's view, however, a better description of the situation would be that he cannot understand the word—that is, he cannot attribute a word-meaning to it—because he has not understood the sentence. This is, at first sight, perverse and paradoxical, but if patiently considered it will be seen to have much in its favour. It follows as a corollary that the piece "Fetch … from the woods" is not the same as similar phrases which occur in other sentences, for example, "Fetch a tree from the woods"; and this situation Bhartṛhari unreservedly accepts.[1] It is of course clear that any meaning which we attribute to the fragment "Fetch … from the woods" is different in the two cases, since for example the method

of transport will be different. At the most, therefore, we can say that the apparently identical fragments in the two sentences are similar but not the same.

On this view, the distinction between "formulæ" and "free expressions" is not so clear-cut as Jespersen would have us believe.[1] Of the former category, he says, "One may indeed analyse such a formula and show that it consists of several words, but it is felt and handled as a unit, which may often mean something quite different from the meaning of the component words taken separately." But this holds also for free expressions, and as Jespersen himself realizes elsewhere,[2] the "meaning of the component words taken separately" is something which cannot be determined apart from a context; and once this is granted, the distinction between the two categories amounts to little more than this: that a word-meaning analysis is more congenial to a grammarian in the one case than in the other. The apparently objective criterion upon which Jespersen relies to diagnose a free expression, namely, substitution in sentential functions, is as we have seen explicitly rejected by Bhartṛhari as being in fact illusory.

The occurrence of homophones in a language has always provided grammarians with an interesting problem, and almost all writers on the theory of grammar have discussed the factors which enable a language to tolerate such homophones without giving rise to ambiguities. Bhartṛhari gives a list of such factors, of which the most important are *vākya*, sentence-context, and *prakaraṇa*, situational context. As a typical modern statement of the same matter I might quote Sir Alan Gardiner : "The *polysémie* of words … does not matter in the least, because the hearer always has the situation to guide him in choosing that type of meaning which is appropriate to the context."[3] This statement conveys the position roughly ; but it seems unlikely that the hearer actually chooses between the various meanings or types of meaning of the *word*—he certainly does not do so consciously in his native language; and it might be better to say that the hearer does in fact understand the sentence, and that this understanding, if afterwards utilized by the lexicographer (who also must "understand" the sentence), will enable the latter to state that, in such-and-such a situation, in such-and-such a

verbal context, etc., the given word can be extracted analytically, and such-and-such a "word-meaning" attributed to it, this word-meaning being different from other meanings of the same "word" in different contexts and different situations. Further, it is necessary to recognize that when we talk of "the word x with meaning A", "the word x with meaning B", the identification of the two x's as "one word" is a mere practical convenience for lexicography and exegesis, something which belongs not to the material but to one method of describing the material, and that this method is not necessarily the best approach to a satisfactory description of language in operation.

We are apt to say from time to time, when struggling with a difficult passage in a foreign text, that we know all the words, but that the meaning of the sentence escapes us. This however is a delusion. In such circumstances we are presumably attributing to one or more of the words a "meaning" which has not been extracted from this particular context, and the obvious comment is that we do *not* know all the words, since our knowledge does not include the manner of their occurrence in the context in question. In practice, of course, a more general, if vaguer, aura of meaning extracted from *similar* contexts frequently gives us a sufficient clue ; but this leads us in the first place to an understanding of the meaning of the sentence as a whole, and only afterwards, by an analysis of this understanding, to the attribution of meanings to the individual words.

These considerations are of the first importance for those of us who are concerned with ancient texts and hypothetical forms in Indo-European or other conjectural languages. The pursuit of the meanings of words in ancient texts is a highly skilled art, and the best work which has been done in this field has substantially added to our understanding of texts. But it is an art which requires a delicate tread. When we inquire into the meaning of a word in an ancient language we are really juggling with possible translations of sentences in which the word occurs, until we finally succeed in finding a mode of translation in which a single word or phrase of the English appears to correspond more or less to the ancient word in question. We then say that this English word or phrase is a meaning of the ancient

word. Here we at least have in the texts sentences which by one means or another we understand after a fashion; and historical and comparative studies frequently enable us to glean from texts in related languages useful hints towards this understanding—though it is important to remember that these methods can at best protect us, as a near-scientific control, against specific errors, but can never prove a positive case. When we come to the prehistory of words, however, we have no sentences at all. The only conclusion that we can reach is that it is therefore impossible to talk of the meanings of, for example, Indo-European roots, except in a very different sense of the term "meaning". Indeed the vagueness of the meanings attributed to Indo-European roots by writers on this subject is an indication of the vagueness of what is meant by meaning in this context.

Having characterized the sentence as "a single undivided utterance" which conveys a single undivided meaning, Bhartṛhari proceeds to indicate what he understands to be the nature of this sentence-meaning. One cannot claim that what he says is a definition, and indeed the theory itself really implies that definition as ordinarily understood is an impossibility. The important point is that the sentence-meaning is grasped as a unity. The situation is compared to our apprehension of a picture. This we perceive as in some sense a unity, and although we can analyse the field of vision, and say that this part of the picture is blue, this part white, and so forth, none the less, we are normally aware of the integrated whole. If on this analogy we proceed to explain the sentence on the basis of an analysis into words, we are in fact merely giving a commentary on it in what are ultimately other words, not words of the sentence itself. The idea here is closely similar to that expressed by Wittgenstein when he maintains that a proposition can only *show* what it has in common with the fact, and that this cannot be *said* in language, since any attempt to do so can only produce other propositions sharing the same logical form.[1] In the end the utmost that can be said of the meaning of a sentence according to Bhartṛhari is that it is grasped by an instantaneous flash of insight (*pratibhā*).[2] The same word is used in later times with reference to the insight of a great poet, and in such contexts may be reasonably translated as poetic genius. We are all, in fact, in a greater or

lesser degree poets in our composition of sentences and in our understanding of the utterances of our fellows. And when we have understood a sentence, we cannot explain to another the nature of this understanding.[3] Although it is an acquired faculty, understanding a language is in its operation very similar to the instinctive behaviour of animals.[4]

It is unnecessary to labour the point that the meaning of a sentence is not necessarily grasped from a knowledge of the dictionary meaning of the words. A few examples, however, may be given of the way in which sentences frequently produce an "implied" sense over and above what appears to be the literal sense. As Bhartṛhari's commentator points out, when a mother says, "The tiger eats little boys who cry," she does not in fact literally mean that there will follow an actual eating by a tiger. Rather she means what is meant by the sentence, "Don't cry."[1] Similarly, if a traveller says to his companion, "We must go, look at the sun," the meaning conveyed is not simply that of looking at the sun, but rather that the companion should realize how late in the day it is.[2] Again, in response to the command, "See that the crows do not steal the butter," not even a child is so literal-minded as to interpret it to mean that he can allow the dogs to steal the butter.[3] Examples of this sort are a direct invitation to formulate a theory on the hypothesis that a sentence can be said to have a literal meaning. This is something which in our normal linguistic discussions we are very apt to take as axiomatic; but it will be apparent after what has been said that from Bhartṛhari's point of view it is more of the nature of a postulate which we ourselves lay down as the condition for constructing specific systematic statements, as a practical convenience in handling the material. For Bhartṛhari himself, the examples quoted above were probably simply further indications of the unsatisfactory nature of a theory depending upon word-meanings. But the commentator does in fact interpret them on the basis of metaphorical transfer of meanings (*lakṣaṇā*). This was the standard interpretation in later grammatical writings, and we find for example the explanation that "crows" in the sentence quoted stands metaphorically for "crows and other animals which might steal the butter".[1]

The theory of literal and metaphorical meaning was further extended in the 9th century by Ānandavardhana in the *Dhvanyāloka*. This is primarily a treatise on poetics; but as the basis of his a æsthetic theory, the author carries out an elaborate analysis of poetic meaning. He had inherited from earlier theorists the distinction between primary and transferred or metaphorical senses of words (*abhidhā* and *lakṣaṇā*), and in addition to these he postulated a third potency of language which he called the capacity to imply or reveal a meaning other than the literal meaning (*vyanjanā*). The central term of the theory, namely *dhvani*, which has frequently been translated as suggestion, is said by Ānanda himself to be directly taken from the grammarians, though the relationship between his use of it and the use in grammar has perhaps been insufficiently clarified by modern writers. In brief, just as the sound of utterances (*dhvani* in the grammarians' sense) reveals the word (*sphoṭa*), so a poem is said to be *dhvani* when it reveals a meaning over and above the literal meaning and when the revealed or implied meaning has at the same time æsthetic value. In this theory we thus leave the more abstruse levels of philosophic linguistics, and come to more practical affairs, namely, the description and classification of meaning types as they occur in literature. Ānanda's work in fact seeks to unite the two traditions of the grammarians on the one hand and the formal rhetoricians on the other.

Ānanda's basic postulate is that utterances possess a literal meaning, and can also convey a further meaning. The scheme of classification which he adopts is fairly detailed and I can give only the outlines of it here. The main subdivision is into two types, first, the type where the literal sense is not intended (*avivakṣita-vācya*); and second, the type where the literal sense is in fact intended, but subserves the implied sense (*vivakṣitānyapara-vācya*). The first of these is again subdivided into two: the type where the literal sense is completely set aside (*atyantatiraskṛta-vācya*), and the type where the literal meaning is shifted (*arthāntarasaṃkramita-vācya*). The first of these embraces what we should normally call metaphor; but it is, so to speak, motivated metaphor, where the metaphorically used words are employed with the definite intention of conveying their associations, or

producing a striking effect. The second sub-variety is an interesting one, and covers cases where a word is used in an enhanced or diminished sense. Edgerton[1] compares this with the "emphasis" of the classical western rhetoricians, quoting Quintilian's definition; though in fact the point of view here is somewhat different. Typical examples are, "Only when favoured by the rays of the sun are lotuses *lotuses*"; "Let men continue to give the moon as a simile for her face; none the less, in the final analysis, the poor moon is the *moon*."[2]

Of much greater interest is the second main subdivision, where the literal sense is intended. The chief type here is that where poetic emotion or mood (*rasa*) is conveyed. It is of great interest to see the term *artha* "meaning", enlarged to include all that is conveyed by a poem. In accordance with the grammarians' views on the unity of the sentence-meaning, the *dhvani*-theory to a large extent operates in terms of larger unities and not individual words. At the same time it is possible from another point of view to indicate that the operative factor in producing the overtones of the implied meaning may on occasion be a single word or phrase. Thus in one example an old hunter says to a tradesman who is seeking merchandise, "How can you expect us to have elephant tusks or tiger skins, so long as my daughter-in-law wanders about the house with dishevelled hair?" Here, says Ānanda, the *dhvani* arises not from the sentence as a whole, but from the phrase "dishevelled hair", since this indicates to the hearer that the hunter's son, who ought to be out hunting, is in fact spending his time in dalliance with his newly wedded wife.[1] Similarly, when in a drama the king Udayana is told that the queen has perished in a fire, he calls to mind in his anguish her beauty: "*Those* eyes of hers glancing wildly round in terror ..." Here the word "those" heightens the emotion conveyed by the stanza and underlines for the sensitive audience the poignancy of the king's memories of very different circumstances.[2] But though it is reasonable for analysis to take account of features of this sort, Ānanda fully realizes that in other cases we must take the whole stanza, or even the whole poem, as instrumental in conveying the poetic meaning.[3]

The extant Sanskrit writings on linguistic theory and on rhetoric form a very extensive literature, and the foregoing account is necessarily a mere outline sketch of some of the most interesting aspects of the Indian theories. One important point which I should like to stress is the realization of the Sanskrit rhetoricians of the need for an explicitly formulated theory of language-meaning as a basis for a theory of poetics. Most philosophic discussions of meaning confine themselves to a relatively small portion of language behaviour, namely, statements which describe or report a state of affairs—the propositions of the natural sciences, or, more generally, such statements as are traditionally handled by logic. This part of language possesses enormous importance and prestige, and is also the least difficult to deal with in a more or less clear fashion. But its treatment frequently suffers from a forget-fulness of the fact that propositions (or the formulae of symbolic logic) are none the less language; and I would suggest that a wider linguistic understanding is most desirable, both for philosophy and for poetic theory. Of colloquial language, Wittgenstein remarks[1] that it is "a part of the human organism and not less complicated than it. The silent adjustments to understand colloquial language are enormously complicated". This is sufficient to dismiss the subject from the consideration of logic, and it is of course quite reasonable that the logician should limit his field in this way. The linguist however must include within his survey all types of language behaviour, from logic to literature. Wittgenstein's implication clearly is that logic can construct a logical language which can be understood without these "silent adjustments"; and it has frequently been claimed in modern times that the aim of logic should be the construction of syntactical rules which will prevent nonsense. I trust that the present paper will show that former hope is certainly a vain illusion, and that the latter is probably so. Logic, mathematics, linguistics, science in general, all convey their messages in language, and this language, however technical, *cannot be understood* save in a manner which is fundamentally similar to the understanding of everyday language. As the ancient Indian might say, the utterances of the costermonger, the language of the great poet, and the

formulæ of the atomic physicist are all in some sense manifestations of the same divine Vāk.

1 Theories of General Linguistics in the Sanskrit Grammarians, *TPS* 1951, pp. 27–46.

1 KSS i. 3. 2 teṣāṃ (*sc.* mantrāṇāṃ) vākyaṃ nirākānkṣam.

1 VP ii. 3 ff. The grammatical sentence is here identified on the basis of the Vārttika definition, *eka-tiŋ* "possessing one finite verb".

1 Such an analysis may be justified where the forms of words are the chief concern; but considerable contortions and an embarrassing set of fictions (e.g., the "central core of meaning" of a word) seem to be needed if we attempt to construct a descriptive statement of meaning on the basis of a word analysis. Such a wholesale rejection of word-meanings from scientific discussion does not of course mean the advocacy of the abolition of lexicography, but rather the recognition of the essentially practical and pragmatic nature of lexicographical statements of meaning.

1 The objection is raised in VP ii. 74, and answered in ii. 94. The naïve person (*mūḍha*) thinks that he perceives the same meaning in the parallel portions of the two sentences (*vanāt* pika *ānīyatām*; *vanād* vṛkṣa *ānīyatām*); but this, as the commentator remarks, is a misconception due to the serial nature (*krama-vaśāt*) of the linguistic sentence-symbol. [Thus for Bhartṛhari the naïve view is completely analogous to the suggestion that in *y* and *v*—due to the linear nature of our writing—there is a common part. Cf. also VP ii. 416: just as the letters in a word are in themselves meaningless, so also are the words (*pada*) in a sentence.] Thus the substitution of the word *pika* for *vṛkṣa* produces an entirely different sentence; and if there is doubt as to the meaning of one word, then the whole sentence is not understood (*pikādiyogāt sakalam evātyantavilakṣaṇam; ekapadārthasaṃdehe sakalam evājnātaṃ vākyam ity ucyate*).

1 O. Jespersen, *The Philosophy of Grammar*, p. 18 f.

2 Op. cit., p. 66.

3 TPS 1951, p. 60.

1 *Tractatus*, 4.12–4.1212.

2 VP ii. 119, 145.

3 VP ii. 146: *idaṃ tad iti sānyeṣām anākhyeyā kathaṃcana: pratyāt-mavṛttisiddhā sā kartrāpi na nirūpyate*: "This (*pratibhā*) cannot in any way be explained to others in terms such as 'It is this'; its existence is ratified only in the individual's experience of it, and the experiencer himself cannot describe it."

4 Bhartṛhari points the analogy in a pair of verses (VP ii. 151, 152):—

svaravṛttiṃ vikurute madhau puṃskokilasya kaṃ:
jantvādayaṃ kulāyādikaraṇe kena śikṣitāṃ.
āhāraprītyabhidveṣaplavanādikriyāsu kaṃ
jātyanvayaprasiddhāsu prayoktā mṛgapakṣiṇām.

"Who alters the note of the cuckoo in spring? Who teaches the spider to weave its web? Who impels the birds and beasts in their eating and mating, in their enmities, or in their flight, and in all the other actions determined by heredity?" The commentator on the latter verse in fact uses the term *pratibhā*, where we should say "animal instinct" (*pratiprāṇyāhārādikriyā niyatānādipratibhāvaśāt*, "The

actions of animals, eating, etc., differing from one animal to another, are determined by a beginningless *pratibhā*," i.e., a *pratibhā* which is not learnt).

1 Commentary to VP ii. 322: *yathā rudantaṃ vyāghro bhakṣayatīti bālasyocyate, na tatra vyāghrabhakṣaṇaṃ vastusthityā saṃbhavi, kevalaṃ mā kadācit tvaṃ rodīr iti rodananiṣedha eva tasya kriyate …*

2 VP ii. 312.

3 VP ii. 314: *kākebhyo rakṣyatāṃ sarpir iti bālo 'pi coditaṃ: upaghātapare vākye na śvādibhyo na rakṣati.*

1 So for example Nāgeśa Bhaṭṭa, *Laghumanjūṣā*, p. 123 (*kākādi*).

1 F. Edgerton, "Indirect Suggestion in Poetry: A Hindu Theory of Literary Aesthetics," *Proc. American Philosophical Society*, lxxvi, 1936, p. 700. Edgerton seems to imply that the whole of the *avivakṣita-vācya* category could be compared with *emphasis*, though in fact only the *arthāntarasaṃkramita* type is really analogous to the first of Quintilian's two varieties of *emphasis* (*Institutio*, viii. 3, 83 ff.).

2 To bring out the idea, we can offer paraphrases such as "i.e., lotuses in the fullest sense of the word; lotuses with all the qualities of beauty which make them worth calling lotuses"; and in the second example, "i.e., *only* the moon and nothing else."

1 *Dhvanyāloka*, iii. 1, *vṛtti.*

2 Ibid. iii. 4.

3 See the discussion in the early part of book iii (summed up in iii. 2), where the types of *dhvani* are classified as arising from individual sounds (*varṇa*), words (or parts of words, suffixes), sentences, "stylistic structure" (*saṃghaṭanā*, i.e. the style measured by the incidence of compound words), or the whole poem or epic.

1 *Tractatus*, 4.002.

Reference and Existence in Nyāya and Buddhist Logic[*]

Bimal Krishna Matilal

CHRONOLOGICAL NOTES: Jñānaśrīmitra was one of the most important Buddhist philosophers in the 10th–11th century A.D. His works are collected and published under the title *Jñānaśrīmitra-nibandhāvali.* He was the teacher of Ratnakīrti, who summarized the views of his teacher in his own book. Udayana in his *Ātmatattvaviveka* mainly takes issues with Jñānaśrīmitra. Ratnakīrti is usually believed to have preceded Udayana. But I think Udayana and Ratnakīrti were contemporaries although Udayana was, perhaps, the junior contemporary. – Ed.

I. NON-REFERRING EXPRESSIONS IN LANGUAGE

Kumārila once made a very significant remark: Word or speech can generate cognition even of entities which are totally non-existent.[1] The fact that there are 'meaningful' and grammatically acceptable expressions in language which *purport* to refer to or to denote some entity or entities but which actually do not refer to anything in our world of experience, has very often proved a puzzle for philosophers and logicians. It is somewhat paradoxical to say that we refer to non-existent entities by such expressions as "the rabbit's horn", "the sky-flower" or "the son of a barren woman". All that we

have here is a class of 'meaningful' expressions which share the same substantival structure in common and possess the grammatical property of a proper name in the sense that they can be successfully used in a context where a proper name might have been used. These expressions have been called 'vacuous' or 'empty' terms. A problem arises when such a term occupies the subject position in a sentence; a problem that is both logical and epistemological.

The understanding of a substantival expression or phrase does not imply that it has a reference; in other words, understanding of its meaning precedes the knowledge of whether or not the expression actually refer to any real entity. That is why we are justified in calling such expressions 'meaningful' although they fail to refer to anything.

An unusual strain of realism pervades our ordinary language in such a way that whenever we try to refer to or express an imaginary or fictitious object we feel constrained to admit some kind of 'relative' reality for these fictions. If we are not happy about this admission, viz., that our fictions have some sort of 'relative' reality, the opponent tries to point out that we would otherwise face a logical problem which will be hard to explain away. To put it simply, it would be difficult, for example, to negate (logically) a statement whose subject is a fictitious object. The actual formulation of the antinomies of a two-valued logic will mainly concern us here. The awareness of these antinomies can be clearly discovered, as we shall see, in the writings of the Naiyāyikas and the Buddhist logicians of the 10th–11th centuries.

An initial note on the source material used in my discussion is in order. The Nyāya position as expounded here is mainly that of Udayana. The Buddhist position is that which Udayana regarded as the view of his Buddhist opponent. The idea of momentariness of all entities apparently belongs to the Sautrāntika school of Buddhism. Unfortunately no extant philosophical text of the Sautrāntika school where this problem is discussed is available to us. But a good account of the thesis of momentariness has been presented by Dharmakīrti and his followers. Udayana becomes involved in the argument concerning the status of empty terms while he is repudiating the logical proofs of the thesis of momentariness. In the first

chapter of his *Ātmatattvaviveka* (from which I have largely drawn my material), Udayana is mainly concerned with the Buddhist views as set forth by Jñānaśrīmitra in his *Nibandhāvali.*

II. THE RIDDLE OF 'NON-BEING'

The Nyāya school claims that a sentence whose subject term does not refer to anything stands in need of some philosophic paraphrasing. A sentence is a representation of some cognitive state. A cognitive state, i.e., a judgmental one, usually attributes a property to a subject or qualificand. And this attributable property can be called a qualifier. Now, a cognitive judgment fails if it lacks a subject to which it can attribute some property. Hence, a sentence which apparently has a non-referring expression as its grammatical subject undergoes a philosophical paraphrasing in the Nyāya system so that it can properly represent some judgmental (or qualificative) cognitive state. A judgmental cognitive state may be erroneous where the representing sentence will be regarded as false. If a cognitive judgment is right, the corresponding sentence will be true. Thus, knowledge and error are the epistemic counterparts of the truth and falsity of the sentences that express the corresponding cognitive states. Proceeding along this line, the Nyāya realism almost pre-judged the issue and tried to show that a sentence with a non-referring expression as its subject should be traced back to some kind of erroneous cognitive state and should be explained accordingly. In other words, Nyāya ruled that these sentences were demonstrably false. Bertrand Russell seems to have tried to analyse such sentences in much the same way. It has been shown by him that these sentences can be paraphrased into such logical forms as will make them patently false.[2]

Apart from this apparent similarity, the philosophic motivation of Russell was, perhaps, not very different from that of the Nyāya school. Among other things, Russell was worried about ontology. Thus, he wrote

> It is argued, e.g., by Meinong, that we can speak about 'the golden mountain', 'the round square', and so on; we can make true

propositions of which these are subjects; hence they must have some kind of logical being, since otherwise the propositions in which they occur would be meaningless. In such theories, it seems to me, there is a failure of that feeling for reality which ought to be preserved even in the most abstract studies.[3]

Whether Meinong did actually postulate such a theory or not can be determined from his doctrine of the independence of what he calls *Sosein* from *Sein*.[4] Roughly speaking, Meinong contended, arguing for a very broad sense of the term 'object', that the object's having some property or characteristic is not affected by its being existent or non-existent. Thus, although the round square does not exist because it cannot exist, it is possible to make true assertions about it or to predicate some property of it. In other words, we might truly say, "The round square is round and square." Even at the risk of a paradox, Meinong adds, one can very well say, "There are objects of which it is true to say that there are no such objects." To the criticism that the law of contradiction would be violated if the sentence "The round square is round and square" is held to be true, Meinong replied by saying that the law of contradiction holds only of what exists, or is real, and is thus not violated by the sentence in question.

Even if we leave Meinong aside, we can conceive, following Quine[5], of some fictitious philosopher like McX or Wyman, who would be willing to countenance at least subsistence, if not existence, to such entities as "the golden mountain". In other words, these philosophers would posit a world of 'unactualized possibles', but would resort to the doctrine of meaninglessness when faced with such self-contradictory expressions as 'the round square' or 'the son of a barren woman'.

Part of the difficulty connected with sentences with non-referring expressions as their subject terms can be transformed into a logical riddle. This riddle has a long history in the West and it is usually nicknamed *Plato's beard.* In India the story is more or less the same. The riddle of 'non-being' in some form or other stayed alive in the controversies between the Buddhists and the Nyāya philosophers down the centuries.

III. THE STATUS OF 'EXAMPLE' IN INDIAN LOGIC

I shall explain presently the Indian version of the riddle of non-being following Udayana.[6] Some acquaintance with the development of Indian logic during the time of Jñānaśrīmitra and Udayana is necessary for understanding the Indian version. The Buddhist believes that the logical demonstration of the proof of his thesis (viz., everything that exists is momentary) is possible. Thus, he tries to formulate a philosophic argument in the standard logical form which is mainly non-deductive. Unfortunately, modern interpreters have sometimes tried to reduce the argument into a deductive inference.

A few remarks about the nature of Indian logic may be in order here. Logic developed in India out of two slightly distinct traditions: (1) *vāda* tradition, i.e., tradition of debate which was concerned with dialectical tricks, eristic arguments and sophistry, (2) *pramāṇa* tradition, which was concerned with the criteria of empirical knowledge, the accredited source of knowledge. On account of this genesis, Indian logic imbibed an epistemological character which was never removed throughout the history.

The model of reasoning with which the Indian logicians were chiefly concerned was not *purely* deductive. Modern interpreters of Indian logic have seldom realized this point (for such oversight, see Randle, 1930). As a result there have been some confusing and futile attempts to reduce the arguments studied by the Indian logicians to Aristotelian syllogistic model. It should be noted that inspite of the neatness, elegance and precision of a deductive system like that of Aristotle, it is undeniable that a good deal of our actual reasonings may not follow the deductive pattern. The reasoning of an experimental scientist, a historian or an ordinary man trying to ascertain the truth of a particular matter, is a reasoning from what we may call 'evidence' to what we can call 'conclusion'. Even most of our philosophical arguments, where we try to depend more or less upon empirical evidences, belongs to this type of inference. A purely deductive model is not always appropriate to this kind of reasoning.

In a deductive reasoning, the so-called premises *entail* (in some acceptable sense of this term) the conclusion in such a way that if we accept the premise we cannot afford to avoid the conclusion without the risk of contradicting ourselves. In a non-deductive argument, the conclusion is not *entailed* in the same sense by the premises. We should better say that our evidences or 'premises' here justify or support the conclusion. Evidences may be good or bad, and the corresponding argument may be sound or unsound. Thus, it seems to be better to talk in terms of soundness and unsoundness of this type of arguments (instead of talking in terms of their validity or invalidity).

The general form of the arguments studied by the Indian logicians is: *A* is *B* because of *C*. The middle term or the 'reason' *hetu C* can be either adequate or inadequate (instead of being strictly valid or invalid). An adequate middle term or 'reason' will establish the conclusion and the argument will be sound. If the middle term is not adequate, the conclusion will not be established and the argument will be unsound. Ordinary conversation and philosophical treatises provide millions of examples of this kind of argument.

In a non-deductive inference, e.g., "It must have rained *because* the ground is wet", the second part is believed to be the *adequate* ground for accepting the first. And most Indian logicians tried to frame the rules of logic from the paradigm cases of sound inference of this kind. But the neatness of a deductive system can easily capture our mind. We may thus be tempted to introduce an additional premise so that these arguments will be deductively valid. We can resort to the theory of 'suppressed premises' and decide that we are dealing in fact with deductive arguments in all these cases. But this seems at best to be a distortion and at worst the demolition of the original structure of the actual argument. That we are inclined to reduce these arguments to deductive arguments proves that we are somehow assured of the *soundness* of these arguments much in the same way we feel secure about a deductively valid conclusion. But this reduction, even if it is sometimes justified, throws very little light upon the original problem, e.g., how can we reasonably draw, as we obviously do, conclusions from so-

called premises which do not strictly entail them? We merely direct our attention to a slightly different and a bit narrower question: How do we establish general propositions such as these 'suppressed" premises? Most of these premises are not admittedly necessary propositions, i.e., analytic judgments. They are in some sense 'synthetic' propositions representing general beliefs which come from common experience.[7] The early history of Indian logic seems to have been a search for an adequate model which will explain both deductive and non-deductive, empirical, inferences.

That it is often misleading to introduce a 'suppressed' general premise in some cases can be easily shown by applying the same method to a dubious case, i.e., an unsound non-deductive argument: speech sound is permanent because it is audible (5th type in Diṅnāga's table of 'reasons'; cf. his *Hetucakraḍamaru*). Should we construe this case as having a general premise "Everything that is audible is permanent", and thus treat the argument as deductively valid with a false conclusion from a false premise? Or, should we construe our general premise as "Nothing that is audible is permanent", and thus make the argument deductively invalid? The truth is that in either case we are turning our attention from the actual structure of the argument to our experience and general belief. In fact we prejudge the case seeing that the conclusion is definitely false.

The best thing would of course be to do neither. The Indian logician says that you cannot state your general premise or the universal proposition unless you can cite a supporting 'example' (*dṛṣṭānta*). A supporting 'example' can be of two types: an 'agreeing example' (*sādharmya-dṛṣṭānta*) and a 'disagreeing example' (*vaidharmya-dṛṣṭānta*). An 'agreeing' example is a case where both the 'reason' and the 'inferable property' (*hetu* and *sādhya*, comparable to Aristotle's middle term and major term respectively) are present together. This will at least show that neither the 'reason' nor the 'inferable property' can be fictitious. A 'disagreeing' example is a case where both the reason and the inferable property are absent.

With this prelude we can proceed to the heart of the controversy between the Buddhist and the Nyāya logicians. The thesis of momentariness which the Buddhist wants to prove is a universal proposition:

Whatever exists is momentary.

Its contrapositive version is:

Whatever is non-momentary does not exist.

The 'reason' in this case is 'existence', and the 'inferable property' is 'momentariness'. Now, to prove the invariable connection between the 'reason' and the 'inferable property', the Buddhist logician must cite, in the first place, some 'agreeing' example where the two properties (the 'reason' and the 'inferable property') and their connection are instantiated. But the 'agreeing' example will not be enough unless one can support it by the citation of what is called a 'disagreeing' example. A 'disagreeing example' is something that instantiates the contraposed version of the main thesis. According to the acceptable form of demonstration, the Buddhist, in order to prove his thesis, must cite not only an 'agreeing example' but also a 'disagreeing example' for making his argument sound and more convincing.

Although the proof here consists in the citation of a 'disagreeing example', the conclusion should not be regarded in any way unsound or uncertain. The whole point of citing a 'disagreeing example' is to show the actual absence of any counterexample. If a counterexample can be found where the 'reason' is present but not the inferable property, then the supposed thesis is immediately falsified. Thus, the soundness of the conclusion depends upon this absence of any counterexample, or our failure to discover any counterexample.

Now, a difficulty arises when we try to find a 'disagreeing example' for the above thesis (viz., an instantiation of the contraposed version given above). To cite an example of unreality would be in some sense to contradict one's own position because it would be like saying that there is an example (or, an entity, if we like) which, according to us, is unreal, i.e., non-existent or a non-example. An 'example', or what is called a *dṛṣṭānta* in Indian logic, must be a well-established case admitted by both sides in a philosophic debate, the opponent and the proponent. It is implied here that there is admittedly an accredited source or 'means of knowledge' (*pramāṇa*) with

which we can establish the example. Thus, an example can never be an unreal entity. This will finally lead, according to Nyāya, to the destruction of the Buddhist claim that he can prove 'logically' the momentariness of everything.

IV. THE NYĀYA-BUDDHIST CONTROVERSY

It should be made clear at this point that neither the Nyāya nor the Buddhist wishes to countenance the world of strange entities like the golden mountain or the rabbit's horn. But the difference lies in their method of approach to the problem.

Confronted with the Nyāya criticism (noted in the last section), the Buddhist does not so easily give up his hope of proving his thesis of momentariness. He tries to point out that the position of the opponent, i.e., the Nyāya position, also involves a self-contradiction. By saying that an unreal entity cannot be used as an example, or, cannot be used as the subject of a proposition, the Nyāya actually mentions 'an unreal entity' in his speech-act. And this can be shown to imply a proposition whose subject would be an unreal entity or a non-existent fiction. Thus, for example, Nyāya would have to argue: the rabbit's horn is a non-example because it does not exist. And this will contradict the original Nyāya position that fictitious entity cannot be the subject of a proposition. Thus, the Buddhist claims to have proved his thesis of momentariness even at the risk of an implicit contradiction because otherwise the rejection or criticism of his argument would lead the opponent into a patent self-contradiction.

Udayana remarks here as follows:[8] The Buddhist wants to avoid a patent self-contradiction (like saying "the rabbit's horn cannot be the subject of any proposition because it does not exist") and thus allows that certain speech-acts, and consequently certain sentences, about fictitious entities like the rabbit's horn are quite in order. The Buddhist, in fact, does not want to accept the Nyāya position that the subject term of a sentence must refer to something actual (or real), and if it does not, the whole sentence stands in

need of some philosophic paraphrasing. Thus, for the Buddhist, "The rabbit's horn is sharp" is a normal sentence which we may use in our discourse for various purposes. One of such uses is made when we cite an example of a non-entity, viz.,

"The rabbit's horn is non-momentary and also non-existent."

Nyāya, on the other hand, wants to exclude from logical discourses any sentence which will ascribe some property (positive or negative) to a fictitious entity. Vācaspati remarks that we can neither affirm nor deny anything of the fictitious entity, the rabbit's horn.[9] Thus, Nyāya apparently agrees to settle for a 'superficial' self-contradiction because, in formulating the principle that nothing can be affirmed or denied of a fictitious entity like the rabbit's horn, Nyāya in fact is violating the same principle. Nyāya feels that this 'superficial' self-contradiction is less objectionable because it can somehow be explained away while the Buddhist approach to the problem is deplorable because it will eventually lead us to reject any discrimination between actual and fictitious entities.

To simplify the matter for discussion, we might talk in terms of exemplified and unexemplified properties (borrowing the terms of Carnap with suitable modifications[10]) instead of talking in terms of referring or non-referring expressions. A referring expression, be it a name or a description, can be said to signify a property (in a broader sense) which is exemplified by the individual it names or the individual that answers the description. A non-referring expression signifies a property, or rather a complex of properties, which is not so exemplified. An unexemplified property (or, property-complex) may be also called an *empty* property (the term being borrowed from Carnap).

The Buddhist argues that it is possible to talk about fictitious objects or empty properties because, otherwise, one cannot even deny successfully their existence. Thus, it is in order when we purport to attribute empty properties to fictitious individuals or when we use a fictitious individual as a 'disagreeing example' or even as the subject of some negative proposition. A

putative answer to 'the riddle of non-being' can be given as follows: an utterance like

"The rabbit's horn does not exist"

is perfectly all right because we are only denying existence or 'actuality' to a fictitious entity. Similarly, the utterance

"The rabbit's horn is not sharp"

is also in order because here we simply refuse to attribute a property, viz., sharpness, to a fictitious object. One may also add that the correctness or soundness of these utterances can be authenticated by our accredited means of knowledge (*pramāṇa*). We can neither perceive the rabbit's horn, nor test its sharpness by direct perception, nor even can we infer its sharpness on any logical grounds (such as knowing that it cuts hard objects easily).

But if we accept empty subject terms in order to make the denial of existence to fictitious entities successful we will invite other logical problems. Udayana points out that if the negative sentence

"The rabbit's horn is not sharp"

is held to be true because it is authenticated by our accredited means of knowledge then the affirmative sentence

"The rabbit's horn is sharp"

can be argued to be true also on similar grounds. Since the rabbit's horn cannot be known through any means, no one can establish that it is not sharp. As long as it is not established that it is not sharp our claim that it is sharp should also hold.

Udayana notes

If nobody has ever seen or known a person called 'Devadatta' anywhere at any time, then the question "Is Devadatta white, or is he black?" results simply from some outrageous perversion. And if, without caring to understand what this is all about, someone

answers the question by saying "he is white" another person has as much right to answer by saying "he is black." Nothing is established by such questions and answers. In each case, the lack of our means of knowledge (to establish the subject term) and (the consequent possibility of) self-contradiction remain the same.[11]

The point that the Nyāya tries to make through this criticism is this. If we allow statements about fictitious entities in a logical discourse – statements by which we purport to attribute some property (positive or negative) to the fictitious entity – we will have no way of deciding whether they are true or false, for it will never be possible to experience the fictitious entity through any accredited means of knowledge. But the Buddhist argues that we do utter statements about fictitious entities. We tell fictitious stories, and we can conceive of unreal entities like the rabbit's horn or the hair of a turtle. It is not always the case that we have to *know* a thing before we may make statements about it or attribute some property to it. A simple cognition, an error, a conceptual construction, or even a deliberate attempt at fiction, will be enough to justify our speech-acts about fictitious entities. And statements about fictitious entities like the rabbit's horn may also serve some useful purpose in a logical discourse.

In fact the Buddhist proposes a kind of pan-fictional approach to the world of phenomena. Thus he believes that language creates fictions and the cognitive element in language can very well be the cognition of a fiction. In other words, an unreal entity can be as much the object of a cognitive state (i.e., an erroneous cognitive state) as it can be expressed by some non-referring expression in language.

V. THE EPISTEMOLOGICAL SIGNIFICANCE OF THE CONTROVERSY

Let us consider

A "The rabbit's horn is sharp."

Nyāya says that here the subject term itself can be treated as a complex term, in fact, a 'disguised' sentence, in which we are attributing either the property of having horns to a rabbit, or the property of belonging to a rabbit to the horn. As long as this is a wrong attribution, the whole sentence should be regarded as false because it can only represent a possible error, i.e., an erroneous cognitive state.

The issues involved here are eventually connected with an epistemological problem, i.e., the problem of explaining an erroneous cognitive state. Nyāya contends that our error consists only in our wrong attribution of a property to a subject. But the property itself or the subject itself must be a *real* entity of this universe. The Buddhist claims that an error does not necessarily consist in the wrong attribution. According to a section of the Buddhists (viz., the proto-Mādhyamika), an error consists in making an unreal thing appear as real. The Nyāya theory is called the *anyathākhyāti* theory of error, while the proto-Mādhyamika view is called the *asatkhyāti* theory of error.

Let us consider the situation of a perceptual error for the purpose of comparison. When someone perceives (erroneously) a snake in a situation where only a rope is present in the visual field and hence is in contact with one's sense organ, we can say that he has an erroneous perception of the snake. In fact we can show him that what he saw was not a snake but actually a rope by examining the object further. But if he is dense enough (or, philosophic enough) to ask "It was not *what* snake?" we will be in trouble because it will be difficult to deny successfully the existence of a non-existent or imagined snake. Whether or not he has seen a *real* snake in life before is just beside the point here. The particular snake which he *thought* he perceived a moment ago cannot be the subject of a successful denial because if that particular snake (or, perhaps, we should say, the snake particular) is totally non-existent then the denial of its existence will be pointless, and if it is supposed to have some sort of existence (i.e., 'subsistence') then the denial will be contradictory. One may resort to such an ambiguous position as the following: The particular snake I experienced a moment ago is not on the same level of reality as this piece of rope which I

am experiencing now, but, nevertheless, that particular snake-fiction is not entirely unreal because otherwise I would not have experienced it a moment ago. This will invite a host of philosophic questions about the nature and criteria of reality which we need not go into here. Our purpose will be served if we remember the metaphysical background in which the Nyāya and the Buddhist theories of error were developed.

It will be consistent for the Buddhist to say that the object of an erroneous cognition (or of a dream cognition), viz., 'this is a snake', is unreal. The following judgment, viz., 'this is not a snake', which destroys the error reveals simply the unreality, i.e., nonexistence, of the snake. Suppose we accept causal efficiency as our criterion of reality. A *real* entity may be the object (*viṣaya*) of a perceptual cognition by being somehow causally related to the production of that perception. But if something has become the 'object' (*viṣaya*) of a cognitive state, it does not follow that it must have been causally related to the production of that cognitive state. For example, the 'snake' grasped by an erroneous perception of the form 'this is a snake' becomes the 'object' of this cognitive state without apparently being causally related to it. Thus, a cognitive state is an intentional act where a nonexistent entity can very well be revealed as the 'object'. This is, in brief, what is implied by the *asatkhyāti* theory of error.[12]

The Nyāya reply to this is somewhat theory-bound. Nyāya realism does not admit that a *totally* fictitious entity can be the 'object' of any cognitive state, even of an error. Nyāya attempts to construct a theory of reality, a conceptual scheme, that consists of some interconnected basic categories (viz., the scheme of Vaiśeṣika categories). Thus, it is asserted that corresponding to each fundamental element of thought or cognitive state there is a fundamental element of reality. The socalled fiction is always constructed out of real elements. And these real elements can be categorized under some basic principles.

A judgmental cognitive state combines two or more elements of reality, and a sentence expresses such a state. An error or erroneous judgment combines two elements of reality which are not actually so combined. To be more precise, an error combines two elements of reality that are not so

combined in reality. One might say that the verbal expression of an error purports to refer to a fictitious entity. But Nyāya hastens to add that the fundamental elements that go to constitute the object-content of an error are all real elements or real properties exemplified somewhere in the world. Even the oddest imagination can be broken into elements each of which is not just 'airy nothing' but 'has a local habitation and a name', i.e., is real.

Nyāya criticizes the *asatkhyāti* theory of the Buddhist by saying that what becomes the 'object' of a cognitive state is also, in some acceptable sense, causally related to that cognitive state, and that it is absurd to suggest that a fictitious non-entity can cause anything. Thus, in the case of perception, what becomes the 'object' causes, at the same time, the perception itself as an event. Even a perceptual error has an 'objective basis' (*ālambana*) which causes such an error. In the case of wrong inference also, we do not deal with fictions. We are either mistaken about our initial perception which lies at the root of such an inference or we fail to apply the rules of correct inference. In the case of an erroneous cognitive state derived from someone's utterance, we should analyse its object-content also in a similar fashion.

It may be argued that the expression 'the rabbit's horn' is understood to refer to some nonexistent entity because no such thing as the rabbit's horn is found in this universe. Nyāya meets the objection in this way. Like perception, language is also a source of knowledge. Through words or a word-complex, we know *atomic* objects. This is called conception. And from sentences we know *facts* or object-complexes. This is called judgment. Thus, the situation is comparable to that of perception where we can have either judgmental perception of facts or 'simple' perception of (atomic) objects. Error arises in the case of judgmental or qualificative perception only (see Matilal, 1968a, p. 16 f). It is impossible for a non-qualificative 'simple' perception to be wrong about anything unless we allow that the 'simple', unitary (indivisible) object-content of such a perception can sometimes be *totally* fictitious having no 'objective basis' (*ālambana*) in the objective world. But as far as Nyāya is concerned this possibility is ruled out. A qualificative perception can be described as '*a* sees that *x* is *P*', and hence

there arises the chance of its being erroneous in case the property expressed by '*P*' is not actually present in *x*. Here, *x* is the *ālambana* 'objective basis'. The property expressed by '*P*' may be a *simple* one, or, it may be a complex one in which case it should be analysable into *simple* components.

VI. THE IMPLICIT NYĀYA SEMANTIC PRINCIPLE

Nyāya asserts that a simple, non-complex property can never be *empty*. We cannot conceive of a simple, non-complex property which is not instantiated by anything in this world. Acceptance of this principle is almost axiomatic in the Nyāya system. Thus, a complex property is held to be analysable in this system into 'simple' components which must be individually instantiated somewhere in the actual world. When we say that a particular property is empty, we mean that the combination of a number of simple *real* (i.e., non-empty) properties is not as such exemplified in the actual world (at a given time). One may combine two contradictory or mutually exclusive properties in which case the combination will be expressed by a self-contradictory expression. One may also combine two non-exclusive, but hitherto uncombined or unconnected, properties in which case it will be an empty property expressed by a non-referring expression. "The son of a barren woman" will be an example of the first kind, "the rabbit's horn," "a man who is twenty-feet high," and "the hair of a turtle" are examples of the second kind. (Note that one has to take the time of utterance also into consideration: "the present king of France" was not a non-referring expression when France was a monarchy, nor "the first man in the moon" is so now since the time Neil Armstrong landed on the moon.)

A problem will apparently arise if someone insists that a non-referring expression such as "the rabbit's horn" or "unicorn" is not the result of a combination but should be treated as an 'atomic' non-divisible expression. In other words, whatever is signified by such an expression could be regarded as a simple, indivisible property. In that case, one can say that we

do utter expressions signifying simple, indivisible properties which have no exemplification in the world of experience. Udayana anticipates this objection. He adds that if for any perverse reason one wishes to admit expressions in our language, which signify simple but fictitious (empty) properties, one will have to find a way to distinguish between two different expressions which signify two empty (but presumably different) properties.[13]

To explain: Unless we allow the meaning of "unicorn" to be indistinguishable from the meaning of "goblin" (or, from that of "the round square") we cannot hope to prove that these expressions signify 'simple' but different *empty* properties. The meaning of such expression cannot, in the first place, be learnt by ostensive means. We depend upon descriptions to make their meanings understood. Thus it is that the apparently unitary expression finally resolves itself into a series of descriptions which will, in their turn, signify complex properties.

The way Nyāya deals with this problem seems to be close to what Carnap has to say about his artificial language system S_1[14]:

> Generally speaking, it must perhaps be admitted that a designator can primarily express an intension only if it is exemplified. However, once we have some designators which have a primary intension, we can build compound designators out of them which express derivative, complex intensions, no matter whether these compound designators are exemplified or not.

Nyāya believes that there is a class of 'simple' properties (which are exemplified and) which are expressed by a class of 'simple' (non-compound) designators. But compound designators express complex properties which may or may not be exemplified.

Following the Nyāya principle we can resolve

A "A rabbit's horn is sharp"[15]

as follows: "(1) Something is characterized by horn-ness and (2) it is characterized by the property of belonging to a rabbit and (3) it is also characterized by sharpness." Of these constituents, if (1) is true, (2) cannot be

true, and vice versa. And (3) can be true or not true according to whether the subject (whatever that is) is sharp or not. But, in no case will the conjunction be true. And, we can resolve

B "A rabbit's horn is not sharp"

as follows: "(1) Something is characterized by horn-ness and (2) it is characterized by the property of belonging to a rabbit and (3′) it is also characterized by the absence of sharpness." This will be equally *not true* (*a-pramā*) as before because both (1) and (2) cannot be factually true together. (3′) will be true or false according to whether its supposed contradictory (3) is false or true. Thus, the law of contradiction is not violated because B, as a whole, is not strictly the contradictory of A (when both of them are thus analyzed). The relation of contradiction may hold between (3) and (3′).

One may note here that Russell has declared that a sentence of type B is ambiguous. He introduces the notion of "primary" and "secondary" occurrences of descriptions to explain this ambiguity.[16] The Nyāya analysis given here seems to forestall the problem of double interpretation by declaring even B-type sentences as not true.

VII. INTERPRETATION OF EXISTENCE AND NEGATION

Using the customary symbols and truth tables of modern logic, we shall try in this section to understand the Nyāya and the Buddhist principles in a somewhat systematic manner. The Buddhist claim may admit of the following analysis: Existence can be predicated in the object-language presumably by some expression like:

$$(\exists x)\ (x = a)$$

This is roughly similar to Quine's method of treating such sentences as "*a* exists" (viz., "Pegasus exists"). When this sentence is false it incorporates a non-designating term '*a*'.[17]

In order to explain the Nyāya principle we have to use a notion which is usually called 'semantic ascent'. Let us use 'h' to express "it is the case that" (cf. Frege's horizontal); now, where 'P' stands for any sentence we can have the following truth table:

P		hP
T	T	
F	F	
I	F	

(Here 'T' means 'true', 'F' means 'false', and 'I' means 'neither true nor false' i.e., 'indeterminate'.) Existence can be expressed via semantic ascent by some expression like:

$$h(\exists x)\ (x=a)$$

Now, the Nyāya manoeuvre roughly consists in this. What is ordinarily not determinate, i.e., neither true nor false, is transformed into a falsity via semantic ascent. The principle can be stated as:

IF 'Fa' or 'a is F' is determinate (true or false) THEN
$h(\exists x)\ (x=a)$

Its contraposed version would be:

IF~$h(\exists x)\ (x=a)$ THEN 'Fa' or 'a is F' is not determinate.

In fact, instead of talking about the rabbit's horn we are talking by semantic ascent about the sense of 'the rabbit's horn'. We are not reading the existential statement as 'There is something x which is identical with the rabbit's horn', but as 'It is the case *that* there is something x which is identical with (the sense of) *the rabbit's horn*'. We should also note that both the above conditional and its contrapositive are determinate even if their antecedents are true.

My present expedient is largely derived from Timothy Smiley's formalized outline in his 'Sense Without Denotation'.[18] Smiley introduces the singulary connective 't' (comparable to our 'h'), which is governed by

the rule: the value of the sentence to shall be *T* if the value of the sentence A is *T*; otherwise it shall be *F* (Smiley, 1960, p. 128). Smiley then introduces the distinction between 'primary' and 'secondary' occurrences of terms and a corresponding distinction between two kinds of predicates. Particularly interesting is his contrast between what he calls the primary negation-sign and the secondary negation-sign. In the case of primary negation, a sentence and its negation are contraries in that they cannot be simultaneously true. In the case of secondary negation, on the other hand, a sentence and its negation are contradictories, for always one and only one of them is true (Smiley, 1960, p. 129). Thus, a satisfactory interpretation of existence statements and their negations eventually leads to the clarification of different senses of negation, to which we shall now direct our attention.

It will be convenient to explain the difference between the Nyāya method and the Buddhist method of interpreting the affirmative and the negative sentences with empty subject terms by making use of the notion of 'choice negation' and 'complementation' or 'exclusion negation'. A choice-negation of a proposition '*a* is *F*' or '*Fa*' will give us a falsity if '*Fa*' were true, and a truth if '*Fa*' were false. But if '*Fa*' is indeterminate (e.g., "The rabbit's horn is sharp"), its choice-negation will also be indeterminate. In fact, the choice-negation presupposes a category-framework. If a predicate 'blue' is denied of the subject 'the pot', we are prepared to locate the subject in the category of coloured objects. If the proposition is indeterminate (i.e., neither true nor false) because the subject term is empty, its choice negation will also give another indeterminate proposition.

An exclusion negation ignores the category-framework. Let '~' represent choice negation and the horizontal over the letter represent exclusion negation or complementation. Writing '*h*' for "it is the case *that*" (cf. Frege's horizontal), we can define exclusion negation as follows:

$$\text{`}\bar{P}\text{'} =_{\text{df.}} \text{`}\sim hP\text{'} = \text{`it is } not \text{ true that'}$$

Writing 'T' for 'true', 'F' for 'false', and 'I' for 'neither true nor false' as before, we can set up the following truth tables:

Choice-negation Exclusion-negation

P	~P		P		P̄
T	F		T		F
F	T		F		T
I	I		I		T

Thus, '*Fa*' may be indeterminate while its exclusion negation is true.

My contention is that Nyāya seems to be favouring (vaguely) a sort of choice-negation and this is no wonder when we think that Nyāya has always chosen to work within some (i.e., the Vaiśeṣika) category-framework. But the Buddhist seems to be favouring a sort of exclusion negation and therefore rules that negation of the indeterminate is true. In fact the Nyāya concept of negation is more radical than what the idea of choice negation implies.

The Nyāya and the Buddhist position might be encapsulated in the following two alternative model theories:

For Nyāya, a model of the language is a pair $\langle D, f \rangle$ where the first component, D, is any non-empty set of actual things, i.e., things that are there and can be experienced or established by some accredited source of knowledge (*pramāṇa*). The second component, f, is a function assigning sets to singular terms and predicates as follows:

$f(a)$ is a unit set for each singular term a.
$f(P)$ is a non-empty set for each 'non-complex' predicate letter P.

For the Buddhist, a model of the language can be stated as above except for an expanded ontology. In other words, D is taken here to be a set of Meinongian objects, some of which are actual and others are fictional. The following thesis is rejected by the Buddhist but maintained by the Nyāya:

T_1: $f(P) \neq 0$ (where 'P' is a non-complex predicate).

We can summarize Udayana's reasons for accepting T_1 in this way.

(a) If $f(P)$ were empty, then the *sense* of P cannot be learnt.

(b) If $f(P) = f(Q) = 0$, then the senses of P and Q cannot be distinguished.

Nyāya also accepts a second thesis:

T$_2$: Only some complex predicates can be empty.

The suggestion is that logically non-complex concepts can be *learnt* only in connection with its exemplification. Thus, "unicorn" could not be understood, i.e., would be unintelligible, unless it were logically complex. Thus, it should unpack as a combination of several simple, non-complex concepts or properties.

VIII. THE PAN-FICTIONAL APPROACH OF BUDDHISM

In order to escape the complexity of multivalued logic, Russell extended the concept of false statement to include sentences with empty descriptions as their subjects. He was rightly criticized by Strawson on the ground that in ordinary language the existence of some thing denoted by the subject of a sentence is a necessary condition of its utterance's being true or false.[19] Strawson's theory can, in fact, be systematically developed only with the assumption of more than two truth-values. One might suggest from this controversy that a multivalued system is even inescapable if logic is drawn closer to ordinary language. Besides, certain paradoxes can, perhaps, be better tackled in a multivalued system.

However, the Buddhist's insistence that we can and do make statements with empty subject terms need not be taken as a plea for accepting a third truth-value 'neither true nor false' ('indeterminate') to be attached to such statements. His argument is more like that of Meinong who wants us to accept the fact that there are *unreal* objects which can be spoken about, can be thought of or desired. We may describe an unreal object like the rabbit's horn as having a property or characteristic, such as non-momentariness (or, even the lack of potentiality to produce something). Thus, a term expressing

such an unreal object can very well be used as a 'disagreeing example' or as the subject term of the contraposed version of the universal concomitance between existence and momentariness.

The Buddhist, in fact, would like to put all the objects over which our thoughts and other psychological activities may range at the same level; and this will include not only (a) things which do exist now (i.e., which are assumed to be existent by the common people or by the realist) but also (b) things which do not exist now (i.e., past and future things), (c) things which cannot exist (viz., the rabbit's horn), and also (d) things of which it would be a logical contradiction to say that they exist (viz., the son of a barren woman). One point is common to all of these four groups, and this is that we can think about them and our mental activities can be directed toward all of them. In their theory of objects, the Buddhists were not interested in ontology or in the metaphysics of being. If this opens the door to idealism, it may be welcome to the Buddhist (because that would simply prove the Yogācāra point that objects are integral parts of, in fact, indistinguishable from, consciousness). Even without giving in to idealism the Sautrāntika Buddhist may maintain this theory of objects with due modification while emphasizing that the *real* objects are only momentary point-instants which are beyond the range of ordinary experience.

Appendix A

By way of documentation, I give below the translation of an excerpt from Udayana, *Ātmatattvaviveka*, pp. 56–69. The Sanskrit text is given in Appendix B. Order of paragraphs here follows that of the Sanskrit text given in B.

By such arguments, the negative method of inferring momentariness of an entity from its existence is also rejected.

Besides, there are some other defects in this negative inference. The minor term (the 'subject' *pakṣa*), the middle term (the 'inferential reason' *hetu*) and the example cited in such an inference

cannot be established by any means of knowledge. There cannot be any means of knowledge to establish a non-entity (i.e., a fiction, *avastu*). If it could be established by some means of knowledge it ceases to be a non-entity.

(Opponent:) If so, then your talk about the non-entity becomes self-contradictory.

(Proponent:) Does this self-contradiction points out that there is a means of knowledge to establish the non-entity? Or, (second question) does it reject the prohibitive statement that we should not talk about non-entity? Or, (third question) does it imply that we must concede such statements (about non-entity) which are unauthenticated, i.e., not established by any means of knowledge?

The first alternative is not tenable. Even a thousand of self-contradiction cannot conceivably show that (the non-entity like) the stable object (i.e., the minor term) or the absence of gradual efficiency etc. (i.e., the *hetu*) or the rabbit's horn (i.e., the example cited to support the general premise) is amenable to (a means of knowledge such as) perception and inference. If it could, what is the use of this silly fight over the nature of non-entities?

The second alternative is acceptable to us because we admit only valid means of knowledge.

(Opponent:) If the prohibitive statement is rejected, no statement with regard to non-entities will be possible.

(Proponent:) What else can we do but remain silent in regard to a matter where statement of any kind would be logically incongruent? Silence is better in such cases. (No statement is better than any statement in such matters.) Please consider yourself who is the better of the two: One who is making statements about entities that cannot be established by any means of knowledge? Or, the other person who remains speechless (on such occasions)?

(Opponent:) But, although you are a wise man, you have not remained silent yourself. You, on the other hand, have made a prohibitive statement with regard to our talk about non-entities!

(Proponent:) True. In order to avoid a self-contradictory object not established by any means of knowledge, you have conceded that one can make statements about the non-existent. Similarly, in order not to allow any statement about the non-entities in our discourse on the means of knowledge, we concede that a self-contradictory statement (prohibiting the use of non-entities) is possible although it is not supported by any means of knowledge. If you treated both the cases in the same manner, we would not have said anything about non-entities. (We have made the above self-contradictory statement because you first raised the question.)

To the third question we say the following: By whose command, may we ask you, one has to accept (in a philosophical discourse statements about) an object which is not established by any means of knowledge?

(Opponent:) Because use of such statements is deeply rooted in our habit (speech-behaviour).

(Proponent:) It will be a self-contradiction to claim that something which cannot be established by any means of knowledge can be deeply rooted in our speech-behaviour. (We speak about objects that appear in our experience and a non-entity cannot appear in our experience and hence cannot be spoken about.)

(Opponent:) Such entities are somehow established (through, for example, some wrong cognition).

(Proponent:) If it is an unreal entity it can never be established through any means of knowledge. If it is established by a means of knowledge, then we ask you to describe that means of knowledge. In *vāda*, i.e., the philosophic debate whose object is to seek truth, we expect you state the means of knowledge.

In the case of *jalpa* 'a philosophic debate whose sole object is to defeat the opponent' or in *vitaṇḍā* 'a philosophic debate whose sole object is to defeat without establishing any position' too, we will not be guilty of self-contradiction because we simply ask you about the means of knowledge by which your *pakṣa* 'minor term' etc. are

established. It is impossible as well as undesirable for you to answer by supplying the means of knowledge. If you answer without supplying the means of knowledge, then your own statement will be self-defeating because you have to admit yourself that there is no means of knowledge to establish your *pakṣa* 'minor term' etc. And if you do not answer at all you will meet the defeat-situation' (*nigrahasthāna*) called *a-pratibhā*, 'silence due to lack of intelligence'. [Read '*pakṣādiṣu*' instead of '*praśnādiṣu*'.]

If you could avoid self-contradiction by only conceding statements about non-entities (like the rabbit's horn) we could have allowed such an expedient. But this is not so. There is no lack of self-contradiction when we say that *something* with regard to which no statement can be made, can be the subject of a denial or a prohibitive statement.

(Opponent:) How can there be self-contradiction if we say (rephrasing our position) that a non-entity cannot be the subject of any affirmative statement?

(Proponent:) Oh! (Then we ask the following question:) Do you or do you not speak about something which can never be the subject of any affirmation or denial? In either way you will contradict yourself. In either case, that *something* would be a non-entity because a real entity cannot be such that we cannot make any statement about it.

If you say no to the above question, then it will contradict the very statement "(something) can never be the subject of any affirmation or denial". If you, on the other hand, say yes (that is, if you admit that we can speak about something which can never be the subject of any affirmation or denial), then contradiction will appear as soon as we discuss the nature of that object (that *something*). It does not hold that something cannot be talked about, i.e., affirmed or denied, and, at the same time, it can be talked about (in the manner just stated).

If you insist that a non-entity can be the subject of a denial (i.e., a negative statement), we would ask: why can it not be the subject of an affirmation too? The lack of an accredited means of knowing (such a non-entity) remains the same in both the cases.

(Opponent:) That the son of a barren woman does not speak can be proved (established) by pointing out that he is not a conscious being. But there is no way of proving that the son of a barren woman does speak. (Thus, we prefer the negative statements.)

(Proponent:) No. Even to prove that (the son of a barren woman does speak) you can assign the reason that he is a son (of someone and hence can speak). You cannot say that the son of a barren woman is not a son because if you do you will contradict yourself.

(Opponent:) It is a mere statement (viz., "the son of a barren women"), in fact there is no real son of a barren woman. (Hence no contradiction.)

(Proponent:) No. Even the lack of consciousness (which you adduced as your reason to prove lack of speech in the son of a barren woman) will be treated in the same manner. (One might say: "the lack of consciousness in the son of a barren woman" is a mere phrase there being no real son who lacks consciousness.) "Lack of consciousness" refers (in fact) to another nature which is different from consciousness.

(Opponent:) We simply want to deny (possession of) consciousness here, and this is quite possible.

(Proponent:) No. In our case also we will say then that we simply want to deny (possession of) the property of not being a son.

(Opponent:) Our mere denial of not being a son (human offspring) cannot by itself prove the presence of activity and speech. Thus, how can we adduce a reason (*hetu*) without including another competent, determinable (and positive) object (in our *hetu*)? (Denial cannot reveal an entity which we can use as our 'reason' *hetu*.)

(Proponent:) No. The same principle will apply to lack of consciousness.

(Opponent:) An object only in the form of a negation of the contradictory possibilities can be used as the reason (to prove anything). For example, the nature of being a *śiṃśapā* tree is adduced as the reason (in the inference: it is a tree because it is a *śiṃśapā* tree) because the nature of being a *śiṃśapā* means the negation of its not being a *śiṃśapā*. The son of a barren woman, on the other hand, not simply excludes (i.e., negates) the possibility of being a pot etc. (the contradictory possibilities) but also excludes the possibility of being a son (a human offspring) like Devadatta (which is not a contradictory possibility). Therefore, the nature of being the son of a barren woman cannot be adduced as the 'reason' *hetu.*

(Proponent:) The lack of consciousness (in the son of a barren woman) can also be treated in the same manner. It is not the case that the son of a barren woman (who lacks consciousness) excludes only such conscious beings as Devadatta and not also the unconscious objects such as a piece of wood.

(Opponent:) Speech is a property which is present only in real entities. Thus, in the face of contradiction, how can the presence of speech be proved in a non-entity?

(Proponent:) Through what means of knowledge can this contradiction be established? Is it because we apprehend non-entities always without speech? Or, because we do not apprehend speech divorced from a real entity?

A non-entity can never be apprehended through any means of knowledge. If it could, it will not be a non-entity. The latter alternative is also not tenable because we will be in the same predicament. Just as speech as divorced from any real entity cannot be established, so also lack of speech divorced from any real entity cannot be proved by any means of knowledge.

(Opponent:) There is only a conceptual construction of the lack of connection between the property speech and the subject.

(Proponent:) What can stop a 'conceptual construction' (*vikalpa*) of the connection between speech and the subject.

(Opponent:) To be a speaker means to produce speech. How can such a productive power be present in a non-entity which is (supposed to be) devoid of all power to do anything?

(Proponent:) How can there be even lack of speech? For, lack of speech means the character of producing what is not speech. (Speechlessness implies doing something else.)

(Opponent:) It is not contradictory to say that if there is lack of every power to do anything then there is also the lack of the power to speak.

(Proponent:) By what means of knowledge can it be established that the son of a barren woman lacks all power to do anything?

(Opponent:) It lacks all power because it is a non-entity.

(Proponent:) How can you establish that it is a non-entity?

(Opponent:) Because it lacks all power to do anything.

(Proponent:) In this way you are only moving here and there uttering mere words and trying to avoid the issue, just as a penniless borrower of money tries to avoid the money-lender. And you are not seeing the vicious circle (the defect of mutual dependence).

(Opponent:) It is a non-entity because it lacks both gradual efficiency and simultaneous efficiency. (If something cannot produce a thing either gradually or simultaneously, it is a non-entity.)

(Proponent:) No. In order to prove such lack of gradual or simultaneous efficiency, you have to adduce a means of knowledge. If the nature of being a son is applied to it, all other properties, such as being able to speak that invariably go along with being a son, can also be applied to it. Thus, how can there be any scope of proving the lack of gradual and simultaneous efficiency in it? How can there be any scope of proving that it is a non-entity? And, how can there be any chance of proving the lack of speech etc.? Therefore, it is our accredited means of knowledge only which is the limit within which our speech behaviour should operate. If this limit is transgressed, there will certainly be chaos.

Appendix B

Udayana, *Ātmatattvaviveka*, pp. 56–69.

Etena vyatirekapakṣo'pi nirastaḥ.

Adhikaś ca tatrāśrayahetudṛṣṭāntasiddhau pramāṇābhāvaḥ, avastuni pramāṇāpravṛtteḥ, pramāṇapravṛttāv alikatvānupapatteḥ.

Evam tarhy avyavahāre svavacanavirodhaḥ syād iti cet.

Tat kiṃ svavacanavirodhena teṣu pramāṇam upadarśitaṃ bhavet, vyavahāraniṣedh-avyavahāro'pi vā khaṇḍitaḥ syāt, aprāmāṇiko'yaṃ vyavahāro'vaśyābhyupagantavya iti vā bhavet.

Na tāvat prathamaḥ, na hi virodhasahasreṇāpi sthire tasya kramādivirahe vā śaśaśṛṅge vā pratyakṣam anumānam vā darśayituṃ śakyam, tathātve vā kṛtaṃ bhautakalahena.

Dvitīyas tv iṣyata eva prāmāṇākaiḥ.

Avacanam eva tarhi tatra prāptam.

Kiṃ kurmo yatra vacanaṃ sarvathaivānupapannaṃ tatrāvacanam eva śreyaḥ, tvam api paribhāvaya tāvat niṣprāmāṇike'rthe mūkavāvadūkayoḥ kataraḥ śreyān?

Evaṃ viduṣāpi bhavatā na mūkībhūya sthitam, api tu vyavahāraḥ pratiṣiddha evāsatīti cet.

Satyam, yathā aprāmāṇikaḥ svavacanaviruddho'rtho mā prasāṅkṣid iti manyamānena tvayā ca aprāmāṇika evāsati vyavahāraḥ svīkṛtas tathāsmābhir api pramāṇacintāyām aprāmāṇiko vyavahāro mā prasāṅkṣid iti manyamānair aprāmāṇika eva svavacanavirodhaḥ svīkriyate. Yadi tūbhayatrāpi bhavān samānadṛṣṭiḥ syād asmābhir api tadā na kiñcid ucyata iti

Tṛtīye tv aprāmāṇikaś cāpy avaśyābhyupagantavyaś ceti kasyeyam ājñeti bhavān eva praṣṭavyaḥ.

Vyavahārasya sudṛḍhaniruḍhatvād iti cet.

Aprāmāṇikaś ca sudṛḍhaniruḍhaś ceti vyāghātaḥ.

Kathañcid api vyavasthitatvād iti cet.

Aprāmāṇikaś cen na kathañcid api vyavatiṣṭhate, prāmāṇikaś cet tad evocyatām iti vāde vyavasthā.

Jalpavitaṇḍayos tu pakṣādiṣu pramāṇapraśnamātrapravṛttasya na svavacanavi-rodhaḥ. Tatra pramāṇenottaram aniṣṭam aśakyaṃ ca, apramāṇenaiva tūttare svava-canenaiva bhaṅgaḥ, madukteṣu pakṣādiṣu pramāṇaṃ nāstīti svayam eva svīkārāt, anuttare tv apratibhaiveti.

Yadi ca vyavahārasvīkāre virodhaparihāraḥ syāt asau svīkriyetāpi, na tv evam, na khalu sakalavyavahārābhājanaṃ ca tanniṣedhavyavahārabhājanam ceti vacanaṃ parasparam avirodhi.

Vidhivyavahāramātrābhiprāyeṇābhājanatvavāde kuto virodha iti cet.

Hanta, sakalavidhiniṣedhavyavahārābhājanatvena kiñcid vyavahriyate na vā, ubhayathāpi svavacanavirodhaḥ, ubhayathāpy avastunaiva tena bhavitavyam, vastunaḥ sarvavyavahāravirahānupapatteh.

Netipakṣe sakalavidhiniṣedhavyavahāravirahīty anenaiva vyavahāreṇa virodhāt, avyavahṛtasya niṣeddhum aśakyatvāt. Vyavahriyata iti pakṣe'pi viṣayasvarūpaparyālocanayaiva virodhāt, na hi sarva-vyavahārāviṣayaś ca vyavahriyate ceti.

Yadi cāvastuno niṣedhavyavahāragocaratvam, vidhivyavahāragocaratāpi kiṃ na syāt pramāṇābhāvasyobhayatrāpi tulyatvād iti.

Bandhyāsutasyāvaktṛtve'cetanatvādikam eva pramāṇaṃ vaktṛtve tu na kiñcid iti cet.

Na, tatrāpi sutatvasya vidyamānatvāt, na hi bandhyāyāḥ suto na sutaḥ, tahā sati svavacanavirodhāt.

Vacanamātram evaitat na tu paramārthataḥ suta evāsāv iti cet.

Na, acaitanyasyāpy evaṃrūpatvāt, cetanād anyat svabhāvāntaram eva hy acetanam ity ucyate.

Caitanyanivṛttimātram eveha vivakṣitam, tac ca sambhavaty eveti cet.

Na, tatrāpy asutatvanivṛttimātrasyaiva vivakṣitatvāt.

Asutatvanivṛttimātrasya svarūpeṇa kṛtijñaptyor asāmarthye samartham arthāntaram adhyavaseyam anantarbhāvya kuto

hetutvam iti cet.

Na, acaitanye'py asya nyāyasya samānatvāt.

Vyāvṛttirūpam api tad eva gamakam yad atasmād eva (vyāvartate), yathā śiṃśapātvam, bandhyāsutas tv asutād iva ghaṭādeḥ sutād api Devadattāder vyāvartate, ato na hetur iti cet.

Nanv acaitanyam evamrūpam eva, na hi bandhyāsutaś cetanād iva Devadattāder acetanād api kāṣṭhāder na vyāvartate.

Vaktṛtvaṃ vastvekaniyato dharmaḥ sa katham avastuni sādhyo virodhād iti cet.

Sa punar ayaṃ virodhaḥ kutaḥ pramāṇāt siddhaḥ – kiṃ vaktṛtvaviviktasyāvastuno niyamenopalambhāt āhosvid vastuviviktasya vaktṛtvasyānupalambhād iti.

Na tāvad avastu kenāpi pramāṇenopalambhagocaraḥ, tathātve vā nāvastu. nāpy uttaraḥ, samānatvāt, na hi vaktṛtvam iva avaktṛtvam api vastuviviktaṃ kasyacit pramāṇasya viṣayaḥ.

Tadviviktavikalpamātraṃ tāvad astīti cet.

Tatsaṃsṛṣṭavikalpane'pi ko vārayitā?

Nanu vaktṛtvaṃ vacanaṃ prati kartṛtvam, tat katham avastuni, tasya sarvasā-marthyavirahalakṣaṇatvād iti cet.

Avaktṛtvam api kathan tatra tasya vacanetarakartṛtvalakṣaṇatvād iti.

Sarvasāmarthyavirahe vacanasāmarthyaviraho na viruddha iti cet.

Atha sarvasāmarthyaviraho bandhyāsutasya kutaḥ pramāṇāt siddhaḥ?

Avastutvād eveti cet.

Nanv etad api kutaḥ siddham?

Sarvasāmarthyavirahād iti cet.

So'yam itastataḥ kevalair vacanair nirdhanādhamarṇika iva sādhūn bhrāmayan parasparāśrayadoṣam api na paśyati.

Kramayaugapadyavirahād iti cet.

Na tadvirahasiddhāv api pramāṇānuyogasyānuvṛtteḥ, sutatve ca parāmṛṣyamāṇe tadavinābhūtasakalavaktṛtvādidharmaprasaktau

kutaḥ kramayaugapadyavirahasādh-anasyāvakāśaḥ, kutastarāṃ cāvastutvasādhanasya, kutastamām cākartṛtvādisādh-anānām. Tasmāt pramāṇam eva sīmā vyavahārasādhanasya, tadatikrame tv aniyama eveti.

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NOTES

* This is a revised and enlarged version of my paper at the Boston Symposium on 'Non-referring expressions in Nyāya and Buddhism', at the annual meeting of the Association for Asian Studies,

March, 1969. The papers were read in the following order: Karl Potter, Charlene McDermott, Bimal Matilal and Dalsukh Malvania. Unfortunately Prof. Malvania's paper is not ready yet for publication. We hope to publish it in a future issue of this journal. – Ed.

1 Kumārila, see section on *Codanāsūtra*, verse 6 under sūtra 2.

2 B. Russell (1905).

3 B. Russell (1919), p. 169.

4 A. Meinong, pp. 76–117.

5 W. V. Quine (1961), Essay 1.

6 Udayana *Ātmatattvaviveka*, pp. 59–89.

7 See also my review of C. Goekoop. For a similar point, see Strawson (1952), pp. 234–36.

8 Udayana *Ātmatattvaviveka*, pp. 64–65.

9 Vācaspati, pp. 172–73.

10 R. Carnap, pp. 20–21.

11 Udayana *Ātmatattvaviveka*, p. 69.

12 Vācaspati, pp. 85–86. For the Nyāya theory and the Prābhākara theory of error, see my Review of Mohanty's *Gaṅgeśa's Theory of Truth*, pp. 327–28.

13 Udayana *Ātmatattvaviveka*, p. 71.

14 R. Carnap, p. 31.

15 I am using the indefinite article 'a' instead of the definite 'the' and maintaining the view that such statements will have existential commitment without the uniqueness condition of the definite article. I have chosen this procedure in order to avoid unnessary complications.

16 B. Russell (1919), p. 179.

17 W. V. Quine (1960), pp. 176–79.

18 Analysis, June 1960, pp. 125–35.

19 P. F. Strawson (1950).

The Context Principle and Some Indian Controversies over Meaning[*]

B. K. Matilal and P. K. Sen

I

Recent discussions show that there are several ways to flesh out and interpret Frege's remarks on the 'context principle'. Besides, we believe that the issue is only the tip of an iceberg. Whichever way one wishes to resolve the problem and interpret the principle, it has some important consequences for our epistemology and ontology. It has even been suggested that the controversy between the 'context' and the 'composition' principle may be broadened to set the background for learning philosophical lessons about the controversy between holism and atomism, even between realism and relativism. But there was also an 'Indian version' of the problem discussed and debated extensively by the exponents of the two sub-schools of classical Indian *Mīmāṃsā*.

In his *Two Dogmas of Empiricism*, W. V. Quine insisted upon the primacy of the sentence over word or term as the vehicle of meaning and attributed this doctrine to Frege's context principle in *Grundlagen* 60. It is significant to note that Quine in his *Word and Object* referred to the view of 'Indian Grammarians' in support of his view. In fact, it was the view of Bhartṛhari, a sixth-century AD grammarian of India, about whom J. Brough wrote an article in the *Transactions of Philological Society,* Oxford, 1951. Quine cited the article by Brough in his footnote. Quine's holistic

interpretation of the Fregean doctrine was based upon a mistake (as Michael Dummett and others have argued), but Quine remained faithful to his interpretation and described it as an 'important re-orientation in semantics' over the old term by term empiricism of Locke and Hume. Even in his latest book, *Theories and Things,* Quine labels this semantic primacy of sentence as one of the 'Five milestones of Empiricism', which gave us contextual definitions. Quine said that this is like the Copernican revolution in Astronomy, in being a shift of centre (p. 69). It made obvious that the words or terms are only like 'grammatical particles' for the meanings of words are abstractions from the truth-conditions of the sentence that contains them.

Whatever might be the correct interpretation of Frege's 'context principle', it is widely believed that he rejected it in his later writing implicitly. H. Sluga[1] has argued that Frege retained the principle in later writings, while M. Resnik[2] has said that he rejected it. Dummett has claimed that Frege retained a weaker version of it implicitly in his later writings. The modern exegetical literature on Frege is vast and varied. Recently Peter Milne[3] has pointed out further difficulties that one would face if one takes Frege to have understood the context principle as a thesis about reference along the lines advocated by Dummett and C. Wright.

In this paper we propose first to review very briefly the exegetical literature on the interpretation of the context principle, and then we will introduce the Indian formulations of what appears at least to be a similar problem. Having first explicitly acknowledged that the types of questions which led to the controversy between the 'context' and the 'composition' principles in the exegesis on Frege were not exactly the same as led to the classical Indian philosophical debate over the *anvitābhidhāna* 'connected designation', and the *abhihitānvaya* 'designation before connection' theory,[4] we aim to show also that the two controversies were not totally irrelevant to each other from the point of view of the philosophy of language. The purpose here is to bring out the points of contact and parallels between the discussion of Frege's context principle on the one hand and the long-lasting Indian debate on the other. It is believed that such endeavour may throw further light on the thorny issue and hence will be philosophically fruitful.

As a very modest beginning, we may formulate three very simple questions, to show the divergence of the ways the two controversies, one in the modern West and the other in classical India, developed.

(i) Does a word have a meaning only in the context of a sentence?
(ii) Is it possible to *know* what a word means only by considering sentential contexts in which it occurs?
(iii) Given that we know the meanings of words constituting a sentence, how do we come to *know,* understand, the meaning of the sentence as a connected whole (of meaning)?

It seems that the modern Fregean controversy is connected with (i) and perhaps also indirectly with (ii), while the classical Indian controversy is directly concerned with (iii). We would like to suggest further that the Indian philosophers were also indirectly concerned with (i), and perhaps also with (ii). That it was so is suggested by our study of Bhartṛhari who criticized and rejected both sides of the (Indian) controversy between the 'connected designation' and the 'designation-before-connection' theories. Bhartṛhari put forward a third alternative, which we may call 'sentence-holism'. He suggested a strong affirmative answer to question (i) and accepted its extreme consequence, namely, words have no meaning ouside, or isolated from, the context of a sentence just as 'rat' in the word 'Socrates' has no meaning. This would show at least that Quine's (mis-) interpretation of the Fregean doctrine has a philosophical basis and on similar considerations Bhartṛhari was led to his sentence holism. These three questions are however not unrelated. In order to answer question (iii) satisfactorily we need to know whether the words have meanings in isolation, independently of the context of the sentence in which they occur.

II

If we give a strong affirmative answer to question (i) above, we get a *strong* interpretation of the doctrine. Here the principle is to be understood in close

connection with the idea of a *contextual definition.* An affirmative answer to question (ii) leads to the *weak* interpretation. It is understood as simply a methodological policy: we should ask what a particular sub-sentential expression means only in the context of a sentence. It seems that some of Frege's remarks favoured the *strong,* some the *weak* interpretation. There is however an *intermediate* interpretation. These three interpretations differ in the following manner. In the strong interpretation, words and other sub-sentential expressions *have no meaning of their own.* In the weak interpretation, these sub-sentential expressions are not denied meanings of their own. In the intermediate interpretation, the meaning which the sub-sentential expressions have is only the contribution which they make to the meaning of the sentence in which they occur. The strength of this third interpretation lies in the fact that unlike the other two interpretations this one presents the principle itself in a favourable light. Textual evidence here is indirect (see Appendix for different formulations of the principle by Frege).

What is distinctive in the strong interpretation of the principle is that it invites us to understand the principle as saying that every expression which is short of a sentence must be defined contextually. But it is also this connection with the contextual definition which makes the principle, on this interpretation, unacceptable.

Let us first be clear about the exact significance of a contextual definition. Take a classic example of the use of the contextual definition: Russell's theory of (definite) descriptions.[5] Russell's definition of (definite) descriptions, given in his famous theory, is not actually designed to *say* what such an expression means; it is rather designed to *show* that we need not suppose that a descriptive phrase has any meaning of its own; it is designed to show that it is not a self-subsistent semantical unit at all, for the analysis the theory offers shows how such a phrase can be *eliminated* altogether from a sentence. If it is said that *every* definition, not only the contextual is a device for eliminating the phrase which is defined, we will show the basic difference between two sorts of eliminating devices—one, in the case of non-contextual, that is explicit, definition, and the other, in the case of the

contextual. The contextual definition, unlike the explicit definition, does not actually say what an expression means. A definition can be regarded as saying what an expression means, rather than being a mere device for eliminating the expression in question if and only if it can be construed as an answer to the question 'What does *a* mean?' where *a* is any expression. It can be stated in the form

a means *b.*

But this is the form of an explicit definition. What then does the contextual definition do? If we want to maintain, what we have just said against the supposition notwithstanding, that it also gives the meaning of the expression, how does it do so? It seems that it can give the meaning, if at all, only in the following way:

a means that by virtue of which S(*a*) means that *p*,

where S(*a*) is a sentence containing the expression *a* and '*p*' is replaced by some sentence giving the meaning of the sentence S(*a*) but not containing the expression *a.* But this does not really tell us *what* that meaning is by virtue of which this semantical equivalence between the two sentences holds. We can indeed put the point in the form of a paradox. The contextual definition tells about the meaning *x* of the expression *a* that it is

the x such that it makes S(*a*) mean the same as [*p*].

But according to Russell's own principle—a principle regarding what he calls knowledge by description—we can know this without knowing what this *x* is.

What has been said above shows, we think, that, treated as an account of the meaning of individual expressions, the contextual definition is very poor. So we should not perhaps treat the contextual definition as attempting that. What then does a contextual definition do? A very plausible answer is that it shows that we should not ask the question: what does the expression mean? (Just as we should not ask the questions: what does 'sake' mean in 'for the

sake of'? We should ask: what does 'for the sake of' mean? or, perhaps, what does 'Philip gave his life for the sake of his country' mean?)

Our opposition to the idea that the contextual definition can be treated as a way of giving the meaning of a word and other sub-sentential expressions can be misunderstood. So let us be quite clear about the nature of this opposition. Our main objection to this idea is that the contextual definition does not tell us *what* the expression means. It tells us *at most* that the expression means *something* by virtue of which a certain equivalence, namely the equivalence between the definiendum and the definiens, obtains, without telling us what that something is. Note that this is *not* an objection to the device called 'contextual definition' as such, but to the view that by this device we *give the meaning of the expression defined.* This objection need not be withdrawn in the face of standard contextual definition of a sentential connective, for example '&', wherein truth-conditions of sentences, formed by the help of such a connective, are specified. Here too, the only thing that the definition does by way of giving the *meaning* of the sentential connective is that it tells us that the connective means something by virtue of which sentences formed by their help have the truth-conditions they have. In fact, in the case of a sentential connective, more than in any other case, it is clear that the contextual definition *need* not be taken to give the meaning of a connective; it can be taken to do *just* what it does, namely, *give the truth-conditions* of sentences formed by using the connective. For the purposes of *logic,* after all, nothing else is necessary. (What does it matter if we do not know what the connective *means*, once we know the relevant truth-conditions? For if we know what the truth-conditions of sentences formed by using the sentential connectives are, we can define *validity* of formulas containing them, the relation of *logical consequence* among such formulas, and all other similar concepts which have any importance for logic.)

One may ask, at this point, 'What is meaning but truth-conditions?' But we can answer this question without entering into the larger issue of whether we can indeed *identify* meaning with truth-conditions. The answer is that even if meaning is nothing but the truth-conditions, it is only the

meaning of the *sentence* which is constituted by truth-conditions, and *not* the meaning of the sentential connective which the sentence contains. Truth-conditions can constitute the meaning at most of what they are truth-conditions of; and that is the sentence and not the sentential connective.

Now, one may still say that the context principle should be understood in any case in terms of the contextual definition, which can then be understood in the manner just suggested. But even this would not really be plausible at all. For, to make use of the idea of contextual definition in our account of the context principle, we shall have to make a complete generalization first. That is, we shall have to say that *all* expressions which fall short of complete sentences must be defined contextually, for the context principle is a principle which is valid for all such expressions. But to make this generalization is to obliterate a distinction on which the very plausibility of the idea of a contextual definition rests. It has never been a part of the thesis that all terms can be defined only contextually, but only that some terms have to be so defined. In fact, the idea of contextual definition thrives on the distinction which Russell had in his mind, namely the distinction between complete and incomplete expressions. It is not the case that *all* expressions are incomplete without exception; only some expressions are so. It is only in the case of incomplete expressions that the contextual definition would be appropriate; it would not be appropriate in the case of complete expressions. There is indeed some intrinsic difficulty in the idea that the contextual definition be applied to *all* terms, for the very idea behind the kind of definition Russell has offered is that the descriptive phrase, for which the definition is paradigmatically apt, can be eliminated altogether from our language, and in favour of the expressions which are *not* incomplete: we need not have these incomplete expressions in our language, we can make do with the complete expressions alone.

There is yet another reason why we should not try to understand the context principle in terms of the contextual definition. If we take the strong interpretation of the principle which this would force upon us, the context principle would be utterly incompatible with the composition principle. If the individual expressions—words and other sub-sentential expressions—do

not have any meaning of their own, there cannot be any question of deciphering the meaning of a whole sentence by (a kind of) step-by-step construction from the meanings of words. But Frege is not prepared to give up the composition principle, as Dummett so rightly emphasizes (see below).

One may say that our objections to the interpretation of the context principle in terms of the idea of contextual definition are based on a questionable assumption. It is the assumption that contextual definition was understood by Frege in the way in which it was by Russell. But, it may be said, this assumption itself is wrong; and that it is wrong is shown by the fact that, while for Russell the contextual definition is a device for *elimination* (and, therefore, for a kind of reduction), for Frege it is not so. In fact, the possibility of giving a contextual definition for a singular term occurring in a sentential context shows, for Frege, that the singular term *does have* reference after all.[6] By contrast, Russell gave his definition of definite descriptions—for example, of 'the present king of France'—just to show that the definite description does *not* have any reference.

It is true that Frege's contextual definition is different from Russell's in this respect, and that we have not so far laid any emphasis on this fact. (This is on the assumption that we are not making any mistake by ascribing to Frege the use of the idea of contextual definition.) But our critique of the interpretation of the context principle in terms of contextual definition cannot be faulted on that ground. The critique remains valid even if the difference just noted between the two conceptions of contextual definition exists and is otherwise important. On the Fregean conception, the contextual definition would indeed tell us that an expression, typically a singular term, has reference, and, for that matter, sense as well. But telling that an expression has reference (or sense) is certainly different from telling *what* that reference (or sense) is. If it is said that the reference, and consequently the sense, are given by the expression itself (as Dummett has suggested)—the singular term 'the morning star' gives both the planet and a mode of presentation of the planet, say—then what does the definition do? The definition itself sets up equivalence between sentences; but it does so

without specifying the ground of this equivalence: the meaning, that is, the sense or the reference.

The weak interpretation of the context principle has the merit of being quite uncontroversial. Who will deny that the best way, and, in the case of some expressions, the only way, in which we can ascertain the meaning of sub-sentential expressions is by observing how they are used in sentences to say something? Consider how the archaeologists have done their job of deciphering inscriptions in long lost and dead languages. Their only *method* has been that of observing patiently, sometimes over the years, how the same character occurs in different constructions.

But since the context principle, on this interpretation, becomes so unexceptionable, we may doubt whether this is all that Frege had in his mind. One of the things which Frege certainly meant us to take seriously—this becomes evident when we consider his actual use of the principle in the development of his theory of number—is that it does not matter whether we are able to identify in each case something to be the meaning of a given sub-sentential expression and form a self-subsistent idea to represent this meaning; it is sufficient if we can say what the sentence in which it occurs means as a whole, and tell how the expression in question is used in it. So what Frege had in his mind when he advocated the context principle is not just a matter of discovering the meaning of an individual expression, it is also something about the individual expression's *having* the meaning it has. The weak interpretation therefore, is too weak to bring out the full significance of the Fregean principle. Thus, it seems that we shall have to reject both the strong interpretation given in terms of the idea of contextual definition and the weak interpretation which treats the principle just as a methodological advice. We are then left with what we have called the intermediate interpretation. To a consideration of this we may turn now.

III

What the intermediate interpretation tells us is that the meaning of a sub-sentential expression is nothing but its contribution to the meaning of the sentence in which it occurs. Dummett, who apparently takes the context principle in this form, also gives what seems to us to be the best possible defence of the principle if it is so taken. The defence goes as follows: the main, if not the sole, function of language is that we use it for *saying* things, to perform linguistic (speech) acts. But we cannot say anything, in the strict sense of the word 'say', without the use of whole sentences. It is only by use of whole sentences that we can make 'moves' in language, to put it in Dummett's words. It follows from this that the significance of sub-sentential expressions also lies in that they enable us to say whatever we want to say. But how do these expressions help us in the matter of saying whatever we want to say? Surely by forming parts of sentences and contributing to the significance of sentences of which they form parts. Thus the meaning of the sub-sentential expressions, we can now say, consists in the contribution which they make to the meaning of the sentences.

The exact significance of the context principle is not really so easy to bring out even in this intermediate or moderate form. In being clear about the meanings of the individual expressions, in terms of contributions made to the meanings of sentences, we shall have to keep in mind the distinction between sense and reference drawn by Frege, although this is a distinction which is absent from Frege's early writings, including *The Foundations of Arithmetic* where the context principle is broached.

The context principle says that the meaning of a sub-sentential expression is nothing but what it contributes to the meaning of the sentence. But what is the meaning of a sentence? Granting that the meaning of the sentence is what Frege calls its 'sense', we shall have to say that the meaning of the sentence is its truth-conditions (at least that is the usual understanding of the idea of sense in Frege). What then is the contribution of a sub-sentential expression to the meaning of the sentences in which they occur? It would surely be the contribution which it makes to the determination of the truth-value of these sentences. If we now ask the further question regarding what, or how, the individual expression

contributes to the truth-conditions of the sentences, say, of the atomic sentence 'Socrates is wise', we find that the name 'Socrates' contributes to its truth-conditions by introducing the individual Socrates, and the predicate, 'wise' or 'is wise', or '(....) is wise', or whatever it is—does it by introducing the concept *wise.* But we have to realize that the individual and the concept are both *referents* of the respective expressions, or what are called by Dummett their *semantic values.* But this realization would actually make us less confident about the correctness of this approach to the idea of the meaning of a sub-sentential expression being what it contributes to the truth-conditions; at the same time, it would also cast doubt on the idea that the meaning (or sense) of the sentence is nothing but its truth-conditions. The general principle which seems simultaneously to undermine both is that it is the reference of the complex expression which is determined by the reference of the constituents. We can, of course, think of ways out of this difficulty, but that will have to be worked out only in the light of a more detailed consideration of the sense/reference distinction.

IV

Some scholars writing on the context principle have suggested that in putting forward the context principle Frege was actually trying to find his own solution to what is basically a Kantian problem, namely, the problem of explaining *the unity of thought.* The unity of thought, for Kant, is a judgement. A judgement involves synthesis, and it is this synthesis which brings about the unity of the judgement, the fact that a judgement is *one* in spite of its essential complexity (which complexity is in the long run due to the complexity of the *manifold of sense*). The synthesis, bringing about the unity in a judgement, is guided by a rule (and it is this which makes the synthesis intelligent, as opposed to blind, and confers whatever *objectivity* a judgement has despite the fact that the synthesis, and to that extent the judgement itself, is a subjective act operating on a subjective manifold). This rule, for Kant, is always some *concept.* In fact two kinds of concepts are

involved in every judgement, the concepts functioning as the predicate(s) *and* the concepts functioning as the categories of understanding. (Thus 'Socrates is wise' involves the concept *wise* as well as the concept (category) of substance-and-accidens.) So it is true to say that the unity of the judgement, and so of the thought, is explained by Kant in terms of the concepts. We may now identify the concepts to which this function is ascribed by Kant with the concepts, or, more generally, functions, Frege is talking about. If we do so, we can say that it is the same role which is ascribed to the concepts by both Kant and Frege; for certainly it is the concept (or function) which gives unity to the thoughts according to Frege: being the unsaturated component in our thought it is the concept (function) which makes its unity possible.

It is a very good question to ask here whether this identification of the Kantian concept with the Fregean is at all correct. There are some obvious differences, for sure, between the two. Concepts, and functions generally, form an important item in Frege's ontology, but they are not accorded any ontological status by Kant. Concepts confer unity to our thoughts, judgements in Kant's view, because they are the rules of *synthesis,* which is a mental act; but there is no question of any synthesis being involved in bringing about the unity for Frege. In fact, the unity of thought is not a thing which is *brought about* by an act of the mind, in Frege's theory, it is something which is out there, albeit in the third realm, independently of us and of our activities. Thoughts are objective entities, their unity is also something objective.

One may, however, say that these differences do not really matter for the limited perspective from which the analogy is drawn. From that perspective, the only thing which is important is that concepts, for both philosophers, are what explain the unity of thought, whatever may be the details of the explanation offered by any of them. Let us grant this. But even so, we are not entitled to conclude that the *context principle* is put forward by Frege to explain the unity of thought. The unity of thought is explained by Frege by invoking the idea of an unsaturated part of the thought, which unites *itself* with the other part, without requiring a *tertium quid.* To say now that it is

here that the context principle is brought into play is to make exactly the mistake of supposing that the context principle is to be understood in terms of the saturated/unsaturated distinction.[7]

V

A few words are in order here concerning the relationship of the context principle and what is now called 'the composition principle'. The composition principle says that the meaning (sense) of a whole sentence is determined by (*composed* of) the meaning (sense) of the words out of which the sentence is composed. Apparently, at least, this principle is inconsistent with the context principle. For while the context principle seems to take the meaning (sense) of the *sentence* to be primary, the composition principle seems to take the meaning (sense) of the *word* to be primary.

In his first book on Frege, *Frege: Philosophy of Language*, Michael Dummett discusses the question whether it is possible to reconcile the context principle with the composition principle, to both of which Frege seems to have been committed. His answer to the question is that they *can* be reconciled, and he suggests that they can be reconciled in the following way: 'In the order of *explanation* the sense of a sentence is primary, but in the order of *recognition* the sense of a word is primary.'[8] In so far as the knowledge of what a particular significant stretch of discourse means is concerned, knowledge of the sense of individual words must precede any knowledge of the sentence as a whole; the reason for this being that the sense of the sentence is itself determined, and determined in the very strong sense of being actually made up of, the senses of the words which constitute the sentence. (This is the Composition Principle.) Since the meaning of the sentence is what is determined by the meaning of the words, we cannot know what the meaning of the whole sentence is unless we know what the words which make up the sentence mean.

> We thus derive our knowledge of the sense of any given sentence from our previous knowledge of the senses of the words that

compose it, together with our observation of the way in which they are combined in that sentence. (p. 4)

But, on the other hand, it is the sense of the sentence which must be regarded as primary in the order of *explanation* of the sense of any significant stretch of discourse; this explanation of the sense of the words, as well as sentences, being understood as a *general* explanation of what it is for sentences and words to have a sense, 'that is, of what it is for us to grasp their sense'. Dummett continues,

> For Frege the sense of a word or of any expression not a sentence can be understood only as consisting in the contribution which it makes to determining the sense of any sentence in which it may occur. Since it is only by means of a sentence that we may perform a linguistic act—that we can *say* anything—the possession of sense by a word or complex expression short of a sentence cannot consist in anything else but its being governed by a general rule which partially specifies the sense of sentences containing it.

Dummett is aware that this way of understanding the relationship of the sense of sentences and the sense of words can be defended only if we could give an account of what it is for a sentence to have sense without any reference to the sentence being formed out of meaningful words. (That is, we should not say that for the sentence to have sense is to be composed of words which have sense.) So Dummett adds further:

> If this is so, then, on pain of circularity, the general notion of the sense possessed by a sentence must be capable of being explained without reference to the notion of the senses of constituent words or expressions. This is possible via the conception of truth-conditions: to grasp the sense of a sentence is, in general, to know the conditions under which that sentence is true and the conditions under which it is false. (pp. 4–5).

VI

We now propose to examine the issues before the Indian philosophers, issues which provided a context in which it has been thought that some sort of a 'context' principle was enunciated against an atomistic theory where the sentence-meaning as a whole is supposed to be constituted by the atoms of word-meaning. One issue was about the significant units of language, that is, the proper locus of meaning. (Frege might or might not have been concerned with this issue in *Grundlagen.*) The task before us now is to provide an exegesis on certain arguments of the Indian philosophers to illuminate the central point in the controversy. But at the very outset, one word of caution to avoid possible misunderstanding. In what follows we will not make the usual distinction between sense and reference. Although a somewhat similar distinction between the 'mode of presentation' and the 'reference' was known to the Naiyāyikas, for the present purpose we would use the ambiguous word 'meaning', and accept some version of the reference theory of meaning.

In *Vākyapadīya*, ch. 2, Bhartṛhari notes that regarding the notion of the sentence and sentence-meaning there are two principal philosophical theses: one is called the 'indivisibility' thesis (*a-khaṇḍa-pakṣa*) and the other is the 'divisibility' thesis (*khaṇḍa-pakṣa*). The first thesis is what Bhartṛhari himself maintains while the second is held by his opponents, the Mīmāṃsakas. For our purpose we propose to call the first 'sentence-holism' and the second 'atomism'. They had two main questions before them: what is a sentence, and what constitutes the sentence-meaning? More specifically, how is a sentence constituted, and how is the meaning of a whole sentence cognized by the hearer after the utterance is made? According to sentence-holism, sentences are wholes and they are the unanalysable units of meaningful discourse. Similarly, the meanings of sentences themselves are wholes. In fact they are also timeless. For destruction is usually believed to be dissolution into parts. We reach words as parts of the sentence, and word-meanings as parts of the sentence-meaning through 'analysis, synthesis and abstraction' (a method that is called *apoddhāra*). This method is only

instrumental in facilitating our language-learning, a convenient way of making explicit our implicit linguistic competence. The words are no less abstractions than the letters are. The meaning of a word in isolation is an imaginary construct. In fact words are as much devoid of meaning as the letters or some syllables in a word, like 'rat' in 'Socrates'. The meaning of a complete sentence is given to us as a whole block of reality. We chip this whole and correlate such abstracted (extracted) bits and pieces of meaning with words and particles which are also reached by such a process of breaking apart the whole sentence. On this theory, a sentence cannot be a composite entity with words as constituent elements, and the meaning of a sentence likewise cannot be given by the allocation or computation of word-meanings individually considered. This view is very similar to that of W. V. Quine's, as noted already, and hence Quine's reference to it was justified. The whole meaning though expressed by a sentence can share a common structure, and have common 'parts' but such parts would not be capable of existing in isolation from the rest. In this sense, they could be just our own 'abstractions'. A weaker implication may be that in ontological terms, the wholes (whether sentences or other wholes) may have parts but such parts lose their significance (perhaps *ontic* significance) as soon as they lose their contextuality in the whole. The opponent would have to say that there may be wholes which have parts but the latter will not lose any ontic significance if they lose contextuality. This holistic solution of Bhartṛhari was seriously challenged by the Mīmāṃsakas in the tradition.

VII

We shall leave aside Bhartṛhari and discuss the so-called atomistic views of the two Mīmāṃsā sub-schools.[9] Both atomistic views recognized that the sentence is a composite entity composed of elements which we call words, particles, etc. These elements are meaningful units of expression. The sentence-meaning must be connected with these units. The hearer grasps the meaning of a sentence or what is spoken, provided he has what we may call

linguistic competence, that is, knowledge of the meanings of words and particles as well as of how that particular language works. On this view, it will be unreasonable to take sentences as the smallest meaningful units, for sentences are virtually countless and we certainly cannot learn a language by learning those countless sentences and their meanings. It is only by learning a few (a finite number of) words and seeing how that language works that we gain the linguistic competence described above.

What has been stated in the last paragraph is commonly held by the two sub-schools of Mīmāṃsā, the Bhāṭṭa and the Prābhākara. They both reject Bhartṛhari's view. But internal differences between these two sub-schools led to great controversies for several centuries. This becomes clear as soon as we ask the following question: how does the competent hearer recognize sentence-meaning as a whole from hearing, in bits and pieces, the constituent words in sequence? Does he first cognize or recognize the meaning of each constituent word and then joins these bits and pieces of meaning together to cognize a connected whole—the sentence-meaning? If our answer is yes, then we are talking from the Bhāṭṭa point of view. Designation by words first, then the designata are connected to form a unity (*abhihitānvaya*). Alternatively, the Prābhākara says that a person recognizes the meaning of the whole sentence by hearing simply the constituent words put together syntactically: 'connected designation (by any word)' (*anvitābhidhāna*).

On the first (Bhāṭṭa) view, the hearer recognizes the meaning of the whole sentence by figuring out first the meanings of individual words whereas on the second (Prābhākara) view, he recognizes the meaning of the sentences *directly* from the words themselves skipping the intermediate step of grasping singly the individual word-meanings. Phrased in this way the distinction may seem trivial, but it is not really so. A little reflection shows that on the first view meanings of words are assumed to be independent units, as *complete* objects. In recognizing the meaning of a sentence (i.e., interpreting a sentence made of several words), we as hearers must first obtain these self-subsistent building blocks (meanings) and then cement these blocks to obtain the connected meaning of the sentence. This implies

that the distinction between word-meanings and sentence-meaning is one of building blocks and the building itself. Here we move close to the intuition which prompted the modern 'composition' principle. Notice that the words cannot have meanings *only* in the context of a sentence on this view, and hence it does not seem compatible with what we have called the *strong* interpretation of the context principle.

Further the word 'directly' in the second view, that we recognize or obtain the sentence-meaning *directly* from the words themselves, means that there is no intervening event such as that of our getting hold first of the so-called word-meanings as building blocks, between our knowledge of the words (through hearing) and our knowledge of the meaning of the sentences made of such words. This has the implication that the meanings of the words are not, in some sense, context-free, independent objects. Whatever a word designates, it is always related or connected (*anvita*) with the designation of other words in the sentence. Notice that it comes very close to saying that a word gains its proper meaning *only* in a context, that is, in the context of a sentence. In fact, the second view expressly advocates that we know or learn the meaning of a word only by considering the sentential context in which it occurs. Apart from this, we must note that the main point in the dispute is epistemological. The question is how do we come to know, as we invariably do, the complete and connected meaning of the sentence simply on the basis of our knowledge of the constituent elements, the words? It is clear that we derive our knowledge of such distinct (constituent) elements through hearing (or seeing) the words as well as their interconnections. (It should be noted that knowledge of *meaning* of the sentence is what is aimed at, not mere understanding of its meaning, but it would be beyond the scope of this paper to argue this point.)

VIII

Both sides in the dispute appeal to a general theory about language acquisition. We learn a language invariably by acquiring knowledge of

word-meanings given in the context of sentences whose meanings are also known or given. A child learns his language in this way by observing the linguistic and other behaviours of the adults. The older adult (*uttamavṛddha*) commands something to the younger adult (*madhyamavṛddha*) who acts to obey. 'Bring a horse', and a horse is brought. 'Bring a dog and tie the horse', and so it is done. That is how our acquisition of the meanings of individual words is explained. The Bhāṭṭa says here that there is thus the denotative power in the individual words, to give us isolated objects, actions, qualities, and relations (i.e. meanings). Hence given any newly formed sentence we can derive its meaning following the 'expected' syntactic pattern (*ākāṃkṣā*) by computing and manipulating such individual meanings to construct a whole. But the Prābhākara disagrees. He says that since individual word meanings are derived only in the context of some sentence or other and therefore from words already syntactically connected with other words, we learn such word-meanings along with their possible (semantic) connections with other word-meanings. The denotative power of a word gives us not simply the object, or action, or quality or relation but also each item's possible connection with other items. Hence being presented with a sentence we do not waste time by first computing meanings from words and syntax and then manipulating such meanings into a whole, but straight away: we derive the connective meaning whole, objects with action, quality with the qualified, and a relation with a relatum. We shall first discuss one of the arguments usually given in support of the Bhāṭṭa view.

Sentences are innumerable, but the word-lexicon has a manageable size. The logic of parsimony demands that it is the word that should be endowed with the designative power (*śakti*), not the sentence. Consider the following four sentences: 'Bring (a) cow', 'Bring (a) horse', 'Tie (a) cow', 'Tie (a) horse'. The child's ability to learn the language is facilitated by learning the four *words* (Sanskrit does not use articles) and their corresponding meanings (real elements of the world) as opposed to learning the four sentences and their corresponding meanings. Add a word 'black' to each of the four sentences and see that by learning five words we can interpret eight more combinations. We can also better explain our ability to interpret new

combinations which we have never heard before, such as new poetical compositions by a poet. Moreover, if there are several unfamiliar words in a sentence, we cannot cognize the sentential meaning. Using such and other arguments, the Bhāṭṭa repudiates Bhartṛhari's sentence-holism.

Against the Prābhākara, however, the Bhāṭṭa argues as follows. If isolated, atomic word-meanings are like the discrete points of distinct iron pins (*ayaḥśalākā*), how could they constitute a continuous line representing the unity of the sentential meaning? For obviously the separate elements being independent of each other, cannot naturally *merge* into each other to form the continuous line. The Bhāṭṭa's answer is that it is done through *ākṣepa*, that is, an extrapolative judgement (when word-meanings are individually cognized), or a sort of suggestive inference (*arthāpatti*) on the part of the hearer.

A few words to explain *ākṣepa* or *arthāpatti* may be in order. When what is presented seems incomplete to us we are forced to imagine some suitable additional (unrepresented) element for completion. This is called *ākṣepa.* By looking at a baby in a cradle one may imagine by *ākṣepa* that there is a mother who is around. *Arthāpatti* has a slightly different meaning. It is a proper inference from the given data. If I see that my desk is no longer in this room, I can easily infer that it has been removed (otherwise it would be impossible to explain such absence of the desk from the room under the circumstances). It is argued that our knowledge of the missing connectors between two word-meanings is suggested by such 'extrapolation' or 'inference'. Each of the words gives some independent *object* as its *complete* meaning and then since they are in a sentence together (*āsatti*) along with syntactic expectancy (*ākāṃkṣā*) and semantic fitness (*yogyatā),* we infer these appropriate connections to obtain the connected meaning of the sentence. Notice that the Bhāṭṭa plays down the logical role of *ākāṃkṣā* or syntactic expectancy. Or, he might have regarded it as simply a psychological factor. The Naiyāyika, who is the third party in this atomistic framework, emphasizes, however that the interconnection between word-meanings is derived from the 'syntax', that is, from *ākāṃkṣā*, which is

defined (non-psychologistically) as the interconnectedness, order, etc., of the elements of representation.

Here the basic issue seems to touch the well-entrenched disputed area where we sometimes talk about interdependence or one way dependence between different elements or constituents (subject and predicate, proper name and general term, noun and verb) that seem to form a unity in a proposition. The Bhāṭṭa says that the designata of words are unrelated objects and hence to connect them we need a presumptive judgement (inspired by the psychological factor 'expectancy'). On the second (Prābhākara) view the word's *designative* power extends to a designatum *plus* possible linkages with others. The word means the *related* item. Here the same underplaying the importance of syntax is noticeable. The unity of the sentential meaning is guaranteed here by the *semantic contribution* (an object plus possible relation) of the words themselves. There is no need for additional suggestive inference or extrapolative judgement to cognize this unity. The Bhāṭṭa argues in reply that on the Prābhākara theory we cannot explain satisfactorily our prompt understanding of the meaning of many new sentences which we have never heard during our days of language-learning. We may note that due to similar misgivings the 'composition' principle is thought to have some edge over the 'context' principle.

IX

It has been suggested that the Prābhākara theory of 'related designation' is an extreme form of syncategorematism.[10] The question is: does the strong context principle 'words have meanings only in the context of a sentence' necessarily entail syncategorematism? Usual examples of syncategorematic words are grammatical particles, adverbs, prepositions, etc., 'sake' in 'for the sake of', to take a typical case.

Using the older idea of a term, one can say that a syncategorematic word is one which cannot be used as a term independently but only in conjunction with other word or words. Quine[11] extended the notion to

include certain adjectives, 'little elephant', 'little butterfly', 'poor violinist', and 'true artist'. In these cases, the qualifying words may have some independent meanings, but they are largely irrelevant, and from the meaning of combined phrases, meanings of such words are not (easily) separable.

Recently Paul Gochet[12] has argued that Quine on the whole prefers a syncategorematic treatment of predicates or general terms. And even if we deny this generally, we have to admit that some (at least one) predicates are syncategorematic (example '*a*', & '='). An extreme form of syncategorematism, it appears, would have to be a claim that all words are like this. On a milder interpretation, syncategorematism may be a vague way of underscoring the later Wittgensteinian claim that the meaning of a word is the *use* it has in language. Does the Prābhākara view come somewhat close to such a position? There is an obvious difficulty here. It is important to see the contrast. Wittgenstein's motivation was to move away from the idea that our talk of the meaning of a word is a talk of the object it stands for, or the entity with which it is somehow correlated. The Prābhākara's main concern was to account for how the constituent word-meanings, if they are given in isolated forms, could be *linked up, hooked up*, with one another in order to form a unity. In fact, one way to describe the Prābhākara view is to say that for him such a word's semantic value is 'an object with a hook (to pick out another object)' so that two or several of them in a sentence can naturally cling together to form a whole. Besides, if admission of syncategorematic words in language presupposes presence of *categorematic* words in combination with which they would form meaningful units, then this is not the view of the Prābhākara. For him, each word needs another to form a meaningful unit. In fact, this general point can be used as a criticism of the strong context principle, if it is construed wholly in the syncategorematic way. We must note that while both the Prābhākara view and at least some version of the context principle may tell us that the meaning of a word is the contribution it makes to the meaning of a sentence in which it occurs, the 'context' principle requires that *a word unconnected with other words cannot have a meaning* while the Prābhākara

requires that *a word cannot have such a meaning as is unconnected with the meanings of other words.*

X

We shall now present the argument of the Prābhākara in defence of his theory. The Bhāṭṭa argues that the Prābhākara by making all word-meanings 'context-sensitive' faces a dilemma. Consider a two-word sentence: 'XY' meaning a connected unity. If we ask what meaning is conveyed by 'X' we have to answer that if it conveys any meaning at all then it conveys the unitary meaning of 'XY' itself. And the same is the case with 'Y'. This is so because the Prābhākara has claimed that the meaning of the word of a sentence contains within itself, though implicitly, the whole sentence-meaning, that is, the connected meaning. This seems to amount to sentence-holism. But the Prābhākara maintains that sentences are made of parts which are words and if the meaning of one part contains the meaning of the whole, the other part becomes redundant. Hence the dilemma before the Prābhākara: either redundancy or sentence-holism.

The Prābhākara answers that the word 'cow' in the sentence 'Bring a cow' or 'The cow is white' designates a cow along with the possibility of its linkage with all other possible objects, or a cow with all the possible qualities, modalities, and actions, and the second element in the sentence is necessary *only* to help us determine which *particular* linkage to the exclusion of all other possible linkages is to be taken into account.

But this is not enough. For one thing, if by the utterance of the word 'cow' one becomes aware of the cow linked up with all the possibilities (but no specific linkage is given) one is in effect aware of specifically nothing at all. It is an incomplete, and hence a very vague, awareness of meaning. (For a thirsty person a salty ocean is no better than a dry dreary desert. This analogy is from Jayanta. Knowledge of the object with all possible linkages is equal to no knowledge at all!) A dilemma arises again: (*a*) if the second word is necessary, is it so by its mere presence? If so, we again embrace

sentence-holism. (*b*) Is it necessary because it *contributes* its own meaning to the whole? If so, it resolves into the Bhāṭṭa view: words give their meanings first and then the sentential meaning is derived from them.

To escape between the horns of this dilemma, the Prābhākara proceeds as follows: first he concedes that the expression 'a cow' means the object cow with infinite possibilities of linkage and the function of the other phrase 'bring' or 'is white' is to exclude other possibilities except the particularly intended one. The second phrase performs this function by its *mere presence*, not by contributing its own meaning. This is not sentence-holism. For holism demands that the combination as a whole has the *combined* (whole) *meaning* where contributions of individual elements are not *recognized* at all, *save through an artificial analysis*. But the Prābhākara theory recognizes that the second element's contribution lies only in excluding all other possible combinations save one that is intended by the sentence.

Jayanta explains the point with the help of several analogies. Cooking is the result of many factors: burning of wood, a pan holding water, etc. They all individually contribute to the combined effect, *cooking*, by performing their own functions which can be individually recognized. Similarly the unitary knowledge of the meaning of a sentence is the result of the interrelated but separately recognizable functions of its constituent words.

A wagon moves and each part is also moving. We can only *recognize* separately the mutually connected function of each part but all such parts jointly produce the motion of the wagon as a whole. The functions of such parts (or their motion) are not separable in reality. Similarly our knowledge of the meaning of a sentence is *produced* by the interrelated function of the constituent words. We can of course *recognize* the unconnected 'own' meaning of each constituent word just as we can observe the individual functions of all parts of the moving wagon, which cause it to move. But such functions do not have separate existence outside the context. We may be reminded here of an already noted comment by Dummett: in the order of *recognition*, the sense of the word is primary. But the point here straddles between both epistemic and ontological concern. Unconnected word-meanings can be recognized but it would be wrong to construe them as

separate entities. Each of them can play a role only in combination with others. The Bhāṭṭa makes a mistake of construing them as separate reals and identifies them with the (material and immaterial) objects such as a pot, blue colour, and action.

More generally, combination of factors produces a combined effect and each factor in combination produces its own *effect*, which is discernible only in that combined effect. The designative power of a word becomes manifest only in combination with other words or only when it is placed in its *natural home*, a sentence (one word sentences being allowed). A word may *remind* us of an isolated independent object, but to contribute to the sentence-meaning it must *mean* directly an object with a linkage. To put it bluntly, on the view we are considering, a word does not *mean* an isolated object, although it may *remind* us of such an object through associative psychological connection, while what it *means* is what it contributes to the sentence-meaning, that is, an object with linkage with others. In Jayanta's language:[13]

> A word does not *mean* a pure object. For we cannot find pure (isolated) words which are not functioning in combination with others. These words are not employed separately to give their 'own meanings' and then the meaning they have in combination with others. They are always used to give their meaning in combination with others. But when they are used in this way it is not that we cannot *recognize* their *own* function (or *own* meaning). Therefore the sentence cannot be a partless whole (nor can its meaning be so either), for the individual functions of the parts are recognized.

Thus, the Prābhākara believes that perils of holism can be avoided and drift towards extreme atomism can be stopped.

XI

Let us see whether we can tie up some of these different issues together. The context principle may be taken to be a very general thesis about meaning, and as a general thesis it would oppose what has been called *epistemological atomism*.[14] This is the view that at least some objects are 'given' to us in sense perception or intuition—and hence our knowledge is in the first instance knowledge of isolated objects (and their properties). This view would then construct the meaning (sense or reference) of complex expressions (sentences etc.) in terms of those sense-perceptible *givens* or the isolated objects. In *Der Gedanke*, Frege seems to have rejected this view impressionistically. Perception of objects, he said, involved grasping of thoughts. It is not to be confused with pure sensory reaction. Knowing is always *knowing that.* The context principle, viewed as a general thesis of meaning, would also oppose such atomism. This undoubtedly offers some insight into our discussion of the Prābhākara theory which opposes a similar sort of epistemological atomism of the Bhāṭṭa school.

Kumārila Bhaṭṭa[15] cited the case of a perceptual judgement constructed out of the bits and pieces of the sense-given. We can take this to be another version of epistemological atomism, which is then extended to the philosophy of language to explain our knowledge of the connected meaning of sentences. Here is the example. Seeing a white flash moving swiftly and hearing the noise of the hoofs and neighing, one judges perceptually 'a white horse runs'. Here the bits of the sense-given are white flash, hoof-noise, and neighing, but a judgement that connects these bits together is reached through the operation of the mind. Similarly there is the operation of the mind which connects the bits and pieces of isolated meanings, to obtain the connected sentential meaning.

The Bhāṭṭa's point seems to be this. The bits and pieces of the objective world, i.e. the isolated objects themselves, possess the capacity (power) in themselves to stimulate the observer enough first to grasp the isolated objects and then to formulate a judgement that connects them together. There are presumably three constituent items in the resulting judgement. They are separable as (1) the white flash presented visually, (2) the notion of horsehood presented by the instant inference from hearing of the neighing,

and (3) the notion of running presented by the inference from the noise of the hoofs. These three are presented in three different ways (through three different avenues of knowledge, *pramāṇas*) and hence presumably they are grasped as unconnected bits of objects. Having been grasped they can by themselves evoke a judgement which unites them. This shows that a judgemental knowledge is possible simply on the basis of the presentation of the isolated object-atoms themselves. Similarly let each word in the sentence present the individual unconnected meaning (objects, properties, actions, etc.). When such isolated meanings are grasped, there will automatically arise the judgement of the connected sentential meaning.

The Prābhākara disagrees. The example, he says, is wrongly construed. There is no doubt that the three bits of object are separately presented in the given example, their sources being different in each case. But a connected judgement automatically arises in the person, as soon as he can locate all these three bits into one spatial location or in one particular substance, the horse. Śālikanātha following the Prābhākara argues that if the person is simply unaware or uncertain of the connectedness of the three bits, he would have three disconnected awarenesses: 'There is a horse there, something is white, and somebody is running.' But from the bits and pieces of the *given,* the required judgement, 'A white horse is running' arises since he can recognize both neighing and the action of running as belonging to the (same) substratum where the white flash belonged. Or, if he is *un*aware of the lack of connection of these objects he would have the required judgement. The judgement may finally be based upon knowledge of connected facts or, even lack of knowledge of the *dis*-connection of isolated bits. In the case of a sentence, the words themselves as constituents provide, by way of presenting their *meanings,* such connected facts, but since such connected facts and the sentential meaning are not different from each other, we know the sentential meaning directly from the knowledge of the words and need not go through the collection of (word-) meaning-atoms.

Śālikanātha was concerned with the epistemological question: how do we as hearers know the sentence-meaning with our usual linguistic competence (*vyutpatti*)? But it is by no means clear whether an ontology of

connected facts is conceded here by the Prābhākara. Perhaps not. What is asserted is rather that word-meanings properly understood are connected facts, not isolated, unconnected bits of object. For otherwise it would be impossible to derive knowledge of the connected sentential meaning from unconnected bits. To imagine any additional device as the Bhāṭṭa does, for providing the required connection between isolated objects would be going against the principle of parsimony.

The Prābhākara points out that the Bhāṭṭa may be violating the principle of parsimony in more than one way. The Bhāṭṭa imagines first that the words have one kind of dispositional property, that of being able to produce in the hearer the cognition of their 'own' (individual) meanings. Second the word-meanings themselves (objects, properties, actions) should then have the disposition to generate the hearer's cognition of the linkages among themselves. Moreover, the words must have another dispositional property for producing in the word-meanings such a (second) dispositional property as would be capable of generating the cognition of the linkages. So the Bhāṭṭa view implies that there should be in all three dispositional properties, two in the word itself and one in the word-meaning, in order that we can account for the verbal cognition of the whole sentence meaning satisfactorily. If, however, we agree, along with the Prābhākara, that words themselves have a dispositional property—that of producing in the hearer a cognition of their 'own' meanings plus linkages—then we can practice the desired *economy* of dispositional properties (one instead of three). Besides, when we deal with language we can never find a word that is *only* a word being completely isolated from other words, for at the end some sort of word such as 'is' or 'exists' will be understood always when one word is uttered or heard. Hence a cognition of its meaning will necessarily bring in the linkage, its connection with the meaning of the other word through association.

The dispute between the two groups rolled on for several centuries. Their arguments and counter-arguments became increasingly subtle and technical. At some point, the exponent of the Prābhākara conceded that the isolated meaning of the word without the linkage can very well be *recollected* by the

hearer as soon as the word is heard. And this facilitates our language learning procedure. The Prābhākara confirmed: the isolated meaning, the object cow, from the word 'cow', is quickly recollected because of *intensity* and *recurrence.* But this recollection simply facilitates our awareness of the proper meaning of the word in the context; we become aware of the object cow plus its possible relation, and the second awareness yields the knowledge of the connected sentence-meaning. With this concession, it was claimed that it became a more defensible theory about meaning, which avoided the problem of sentence-holism as well as that of 'unconnectedness' which the extreme forms of atomism might imply.

If connected facts are not admitted as real entities 'out there' but at the same time it is claimed that words in a sentence designate connected items, that is, objects with linkage, and not objects as such, then this 'designation' relation of words is supposed to pick out what we may call *epistemic* objects, not the actual items or objects in the domain of the reals. It is our knowledge of such a 'designation' relation of words that gives us the knowledge of the sentence-meaning as a whole. This seems to call for a tentative distinction to be made between the isolated objects, the *ontological* domain, and what we call a *semantic* domain which will include designata of words, such connected facts, the *epistemic* objects, that is, objects with linkage. We are not however sure whether the Prābhākara would be accepting this consequence, but this seems to follow from his view.

Dummett repeatedly says that the context principle as applied to reference (as applied to sense, the principle seems to him unproblematic) created a *tension* in the kind of realism that informs Frege's whole philosophy. The Prābhākara view is an attempt to avoid a *crude* theory of meaning, which demands that the meanings of our words be construed as independent and isolated pieces of reality. We have shown that the Prābhākara can avoid this construal and still maintain realism in his ontology by confining his doctrine of meaning to epistemological level; it becomes an epistemological thesis about the origin of our knowledge of sentence-meaning. The moral seems to be this. If we flout the context principle, as well as the Prābhākara view of connected facts as word-

meanings, we are hard put to explain how we recognize the connectedness of these individual atoms in our judgements. In fact, this will be a general problem for any form of atomism, epistemological or ontological.

To conclude: it is obvious that the context principle was formulated to answer presumably a different set of questions, but some of the philosophical issues raised by it were not entirely different from the issues raised by the age-old controversy between the Bhāṭṭa and the Prābhākara about how we grasp the (whole) meaning of the sentence. Among other things, Frege was concerned with the dismissal of the psychologistic interpretation of number-entity. That was apparently not the concern of the Indian philosophers we have talked about. It is however not clear whether Frege was making an epistemological point about how we grasp thoughts, or an ontological point about the parts in the context of the whole. He did seem to worry at times about how the whole manages to hold together. The Prābhākara, on the other hand, explicitly makes an epistemological point about how we grasp the sentence-meaning. By positing such semantic or epistemic objects as things, properties or actions with possible linkages, constituting the domain of the meaning of words in a sentence, he steers clear of the two extremes: the Scylla of crude realism implicit in the extreme atomism of the Bhāṭṭa and the Charybdis of a sort of idealism implied by Bhartṛhari's holism.

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Appendix

1. On page X of *The Foundation of Arithmetic* (J. L. Austin's translation) Frege writes: 'Never to ask for the meaning of a word in isolation, but only in the context of a proposition.' The principle is here laid down as one of the three principles Frege says he has kept to in his enquiry in the book. So it

does seem that the principle is laid down as a *methodological principle* (or a *heuristic device*). He explains, after laying down the principle, that a violation of this principle forces one to take mental pictures or acts as the meanings of words, and thus to a violation also of what is now known as anti-psychologism. (The three principles which are laid down by Frege in the *Introduction* are anti-psychologism, the context principle, and the object-concept distinction.)

2. In Section 60, p. 71, Frege says: 'Only in a proposition have the words really a meaning.' Here, the principle is invoked to argue that from the fact that we cannot form a (separate) idea (i.e. mental picture) for a number word it does not follow that it does not have any meaning. Thus he adds: 'It is enough if the proposition taken as a whole has a sense; it is this that confers on its parts also their content.' It is very significant however that in the *second part* of the sentence Frege speaks like a (sentence-)*holist*: it is the sense of the sentence which confers on the words the content which they have.

3. Two pages later, in Section 62, p. 73, Frege talks again of the context principle in the same manner.

4. Frege refers to the context principle again towards the end of the book, while giving a resume of his investigations in the *Foundations*, in Section 106. On page 116 he writes the following:

> We next laid down the fundamental principle that we must never try to define the meaning of a word in isolation, but only as it is used in the context of a proposition: only by adhering to this can we, as I believe, avoid a physical view of number without slipping into a psychological view of it.

Reference to the idea of definition in context seems to suggest the case of contextual definition of words and sub-sentential expressions. Wittgenstein's own form of the context principle was inspired by the second and third formulations in Frege. In 3.3 of the *Tractatus* he writes: 'Only propositions have sense; only in the nexus of a proposition does a name have meaning.' Wittgenstein uses two terms in German while expressing the context

principle—'Sinn' and 'Bedeutung'—and the first in connection with propositions (sentences), while the second in connection with names. If this is taken really seriously, we can take Wittgenstein to have said that the sense is something which belongs to the sentence, and not to the words, not especially to names; and the names have reference, as opposed to sense, but the reference of the name is determined by the sentential context in which it occurs. If there is anything in this interesting idea, what Wittgenstein advocated in the *Tractatus* must be very different from what the context principle is taken to say in any of its interpretations we have discussed, and for which we have any textual evidence.

* We benefited from conversation with Michael Dummett at a seminar given by us in Oxford in 1984. We wish to thank also the following persons who read the paper at its various stages and made important comments: Peter Strawson, Michael Resnik, and Simon Blackburn.

1 *Gottlob Frege*, 1980.

2 *Frege and the Philosophy of Mathematics*, Ithaca, 1980.

3 'Frege's Context Principle', *Mind,* 1986, pp. 491–5.

4 We apologize for introducing two rather formidable Sanskrit terms at the outset. We have given literal translations of the two terms here. They are ascribed to the two philosophers of the Mimamsa school, Prābhākara and (Kumārila) Bhāṭṭa. Later we propose to use these two proper names to refer to these two rival views.

5 'On Denoting', *Mind*, 1905, pp. 479–93.

6 This aspect of Frege's use of the contextual definition is brought out extremely well by Crispin Wright in his *Frege's Conception of Numbers as Objects,* Aberdeen University Press, 1983. But Peter Milne (*Mind*, 1986, pp. 491–6) is right in saying that the context principle cannot be exhausted by Crispin Wright's *syntactic priority thesis*, that is, by the thesis that if an expression has *all* the syntactic features of a singular term, and we can give sense to the sentence as a whole, then we can say that the singular term stands for an object, even if there is no *independent* evidence for the existence of such an object. (For one thing, expressions other than singular terms must be brought within the scope of the context principle; and, for another, the principle should not be assumed to concern *reference* alone of expressions, it can concern their *sense* as well.) However, the point which Milne himself makes, namely that the context principle was taken by Frege (in his pre-sense/reference thinking which was at least partially retained even at the time of writing *The Foundations*), to give an account of identity statements in terms of a shift of reference from the object to the sign, cannot add anything to a specification of the *content* of the context principle. It only tells us something about what this principle was taken to explain. Besides, it is both desirable, and possible, to find out some interpretation of the context principle which can survive the sense/reference distinction.

7 We believe that it is a mistake to suppose that the principle applies to unsaturated expressions alone. For, to be sure, the context principle, according to Frege, should apply to *all* expressions. Resnik has added another reason (private correspondence): unsaturatedness is only needed after

sentences are given parts that have separable meanings, while the *strong* context principle would imply that parts of the sentence may not have separate meanings.

8 M. Dummett, *Frege: Philosophy of Language,* 2nd edn, p. 4.

9 Arguments for both schools are to be found in many Sanskrit philosophical texts. For convenience, we have used Jayanta's *Nyāyamañjarī* of 10–11th century AD. See the edition of 1934, pp. 365–9.

10 F. Staal, 'Sanskrit Philosophy of Language' in *History of Linguistic Thought and Contemporary Linguistics*, ed. Herman Perret, Berlin, 1976, pp. 102–36.

11 W. V. Quine, *Word and Object*, pp. 132–3. Also *Theories and Things,* p. 68.

12 P. Gochet, 'The Syncategorematic Treatment of Predicates', in *Analytical Philosophy in Comparative Perspective*, ed. B. K. Matilal and J. L. Shaw, 1985, pp. 61–80.

13 Jayanta (1934 edn), p. 207.

14 See M. Dummett, *The Interpretation of Frege's Philosophy,* London, 1981, pp. 345–59. The term is used by Sluga.

15 The discussion here centres around a frequently quoted verse of Kumārila Bhaṭṭa. We follow the explanation by Jayanta and Śālikanātha.

The Sense-Reference Distinction in Indian Philosophy of Language

Mark Siderits

It is generally accepted that Indian philosophers of language do not posit sense as a component of the meaning of an expression in addition to its reference.* There is, for instance, no notion of analyticity – of propositions which are true by virtue of meaning alone – in Indian philosophy. Likewise no distinction is drawn between contingently and necessarily nonexistent objects: Two stock examples of a nonexistent are the horns of a hare and the son of a barren woman, and these two examples are treated as in all respects alike. We find instead a more or less pure reference theory of meaning: The meaning of an expression is that entity which the expression designates. Here the name-bearer relation seems to reign supreme as the central metaphor of semantics. I shall, however, argue that, predominant though the reference theory might be, certain Indian philosophers of language were nonetheless forced to recognize sense as a distinct element in meaning. That the sense-reference distinction was never extensively made use of by Indian philosophers of language is clear; I shall not be concerned to dispute this or attempt to explain it. Instead I wish to explore how recognition of something sense-like is forced on philosophers working in a tradition dominated by semantic realism. I suspect we may discover something important about the motivation behind the sense-reference distinction through such an exploration.

1.

We would do well to begin with the sense-reference distinction as it is employed in the Western tradition. Here, the distinction appears to have originated with an attempt to account for differences between the semantic behavior of proper names and so-called general terms. While the proper name 'Aristotle' might be said to have as its meaning its bearer or referent, Aristotle, it seems odd to say that the meaning of 'human' is the class of humans. Instead, such thinkers as Reid, Whately, and Mill held that the meaning of a general term is a property or set of properties: Such a term denotes the members of its extension by virtue of this descriptive backing or connotation, and to predicate a general term of a particular is to convey the information that the particular has that property or set of properties. It is now generally accepted that nonempty proper names have reference and predicative expressions have sense. With respect to the latter, one widely held view is that a sense is an idea or concept, a purely mental representation which a competent speaker associates with a term. This tendency to see senses as mental contents is no doubt often motivated by nominalist scruples about allowing properties into one's ontology; but it may also reflect the intuition that an adequate account of the meanings of predicative expressions must somehow be made to fit into the general scheme of propositional attitude psychology.

It was Frege who first claimed that all meaningful expressions – singular terms, predicative expressions, and sentences – have both sense and reference. The claim that proper names have senses has been the subject of much controversy, but it is generally conceded that Frege's puzzle about identity statements must somehow be answered: The statement, 'Hesperus is Phosphorus' is informative, yet if the meanings of the names 'Hesperus' and 'Phosphorus' were just their referents, then the statement should be no more informative than 'Hesperus is Hesperus'. Thus it appears unarguable that part of the meaning of a proper name is the information value it has, the contribution it makes to the cognitive content of a sentence in which it occurs. What is far more controversial is Frege's identification of this aspect

of the meaning of a proper name with a distinct notion, that of the means a competent speaker employs in identifying the referent of a proper name. In particular, Frege is often alleged to have held that the meaning of a proper name is that one definite description that any competent speaker must associate with the name. Here the root issue appears to be whether understanding a proper name involves having a theory about its referent: Must we ascribe propositional knowledge of any sort to the competent speakers of a language to explain their use of a proper name? Those who deny that proper names have senses would of course agree that there is something that fixes the reference of a proper name, but they deny that a competent speaker need have any conceptual representation of this reference-fixing device to use the term; one need not have in mind any explicit or even implicit theory about the referent to know the meaning of a proper name.

This approach leaves unanswered Frege's original question about the informativeness of identity statements involving proper names. One possible solution involves what McDowell[1] calls an austere theory of sense: The statement,

> 'Hesperus' denotes Hesperus

states the reference but *shows* the sense of 'Hesperus'. To satisfactorily interpret the behavior of speakers of the language, we must ascribe to them knowledge of this proposition, as opposed to, say, the knowledge that 'Hesperus' denotes Phosphorus. Here there is no pretense that the competent speaker need have any theory as to how he or she picks out the referent of 'Hesperus' – it is possible that this feat can be explained in terms of purely neural machinery. But such machinery cannot explain all the facts about speaker behavior: In particular, it does not explain the fact that certain speakers use the statement, 'Hesperus is Phosphorus' to express more than just a truism.

Our goal in this section is not to find a workable solution to the problem of the semantics of proper names, but rather to determine what is generally meant by the sense-reference distinction. Frege's description of sense as the

mode of presentation of reference is suggestive but unclear. What emerges from the controversy over proper names is that sense involves propositional knowledge or knowledge-that, as distinct from mere associative knowledge.[2] The champion of senses for proper names insists that we cannot adequately explain speaker's behavior unless we take the speaker to associate name with bearer in some particular way, a way that can only be expressed in terms of propositional knowledge. There is disagreement as to what such knowledge might consist in – a definite description, or fuzzy set of definite descriptions, or the bare knowledge that 'Hesperus' denotes Hesperus. But such theorists hold in common that to understand the use of 'Saul Kripke' in a sentence is to be *en rapport* with Saul Kripke in a particular way, a way that is different in kind, by virtue of its having some information content, from the manner in which one is *en rapport* with Saul Kripke when one sees or touches him; and which may also differ in content from the way one might think of Saul Kripke in understanding the name, 'little Saulie from grade school'.

Frege's claim that predicative expressions have both sense and reference is controversial for the opposite reason: It is generally agreed that such expressions have sense, but the notion that they have reference is widely disputed. For Frege, the referent of the expression, 'is a prime number' is a function that maps objects onto truth-values (onto True for the prime numbers, onto False for all other objects); the sense of the expression is the manner in which any competent speaker grasps this function. Frege seems to have thought that such a distinction is called for at least in part because, in the case of two coextensive predicates, one may grasp the functions associated with the terms in different manners, such that one is competent in the use of each (intuitively, 'knows their meanings'), but does not recognize their extensional equivalence. The notion that predicative expressions have reference has been resisted because it seems to some ontologically profligate to add unsaturated or incomplete entities to the realm of reference (i.e., the world) when it is generally agreed that a competent speaker must have some criterion of application in mind in order to use a predicative expression: Why posit such strange entities when we can explain speaker behavior

solely on the basis of knowledge of the senses of such expressions? (Frege held the referent of a predicative expression to be an unsaturated entity – a function with its argument-place(s) unfilled – where others, such as Strawson and C. I. Lewis, would take it to be a universal or property; Frege's choice was dictated by his application of the context principle to the problem of sentential unity, about which we shall say more below.)

Once again, we are concerned not to settle the dispute, but to see what it tells us about the sense-reference distinction. Here too we find that senses have cognitive content – they hook up somehow with a speaker's propositional attitudes. To know the sense of a predicative expression is to have some piece of propositional knowledge that one uses in determining the truth-conditions of sentences in which it occurs. Here as well we can envision more and less austere versions of a theory of sense. But if Frege is right then we must attribute some such propositional knowledge to the speaker, in addition to the mere ability to employ the function (which, again, can be explained in terms of purely neural machinery), if we are to account for speaker behavior.

I wish to show how certain Indian philosophers, working within a tradition dominated by the reference theory, came to posit sense as a distinct component of meaning. I shall present two episodes in Indian semantics. The first occurs within a nominalist school, the Yogācāra-Sautrāntikas of the Buddhist tradition. Here we shall find the philosopher Dharmakīrti responding in the normal nominalist's fashion to the realists' use of universals to explain the semantics of predicative expressions. However, his reasons for positing sense are not what we might expect, for the semantics he develops yields a reference for a predicative expression, namely, that part of its extension that it denotes in a sentence in which it occurs. That is, Dharmakīrti does not follow the well-trodden route from rejection of real universals or properties to mental representations as the meanings of predicates. Instead, his account of our application of predicates leads him to take the particular as the referent of such a term on an occasion of use. It is only when faced with the difficulty of explaining how a statement asserting two predicates of the same particular can be informative that he is forced to

distinguish between the referent of an expression and another component of its meaning, its cognitive content or sense.

The second episode occurs within the Prābhākara Mīmāṃsā school of orthodox Indian philosophy. This school accepts an ontology sufficiently rich that an appropriate referent can readily be found for each kind of term in the lexicon: substances for proper names, property-particulars for adjectives, actions for verbs, universals for natural-kind terms, etc. Thus here too it is not ontological scruples of the usual sort that lead the Prābhākaras to the threshold of the sense-reference distinction; in this case it is their adherence to the context principle, the principle that only in the context of a sentence does a word have meaning. What I shall seek to show is that their application of this principle to the process of sentence comprehension leads them to distinguish between the entity denoted by a term and the manner in which one becomes *en rapport* with that entity through understanding the term. This, I shall argue, is tantamount to the sense-reference distinction as described above. Of particular interest here is that the Prābhākara theory yields what I take to be a more plausible motivation for the sense-reference distinction as applied to predicative expressions than that which Frege provides.

2.

In his remarks on inference in *Pramāṇavārttika*,[3] the Buddhist logician Dharmakīrti says something that is clearly relevant to our investigation. According to the Buddhist logicians, an inference has the following basic structure:

> *x* is qualified by *P*
> because *x* is qualified by *R*.

Here *x* is an entity or set of entities, *P* is a property which is meant to be proven to qualify *x*, and *R* is some property (the 'reason') which is asserted

to be an indicator or mark of the presence of *P* in *x*. The example which Dharmakīrti discusses is this:

> This is impermanent
> because it is a product.

About this inference Dharmakīrti makes the following claim: For any entity which is a product, its productness is ultimately nondistinct from its impermanence. The reasons for this seemingly odd claim are to be found in certain basic tenets of Yogācāra-Sautrāntika metaphysics. According to this radically nominalistic school, only unique particulars exist. There are no universals or properties, and there are no resemblance relations among particulars. It is concluded from this that a property is ultimately nondistinct from the particular that possesses it. It would then follow that whenever two properties are properly predicated of a particular, those properties are themselves nondistinct.

Now granting all this, let us look at the difficulty which Dharmakīrti's claim creates for his account of this inference. It is objected that such an inference must then commit the fallacy known to Indian logicians as 'reason as part of the meaning of the thesis'. In our example, the thesis is, 'This is impermanent', and the reason is 'product'. Clearly, the objection is that here 'impermanent' and 'product' have the same meaning, referring as they do to identical properties, so that the inference could be reformulated as:

> This is impermanent
> because it is impermanent.

Thus the inference is question-begging. Now we might be tempted to say in response that the inference is nonetheless valid if productness and impermanence are identical. It is not open to Dharmakīrti to reply in this fashion, however, since his concern is to show that inferences of this sort are valid means of knowledge (*pramanas*), and a cognitive act cannot count as a valid means of knowledge unless it results in cognition of a proposition not previously known to the cognitive agent. Thus the thesis of a true inference

must be a proposition which the inferrer does not yet know to be true; and in order to perform a question-begging inference, one must already know the thesis to be true. The objection, then, is tantamount to the claim that, given Dharmakīrti's description of inferences of this sort, all such inferences are uninformative.

The parallel with Frege's puzzle concerning the informativness of certain identity statements should be clear. It is alleged that when the sentences,

(1)　This is impermanent

and

(2)　This is a product

are both true, the referent of 'impermanent' is the same entity as the referent of 'product', viz., the entity demonstrated by 'this'. On the assumption that meaning is just reference, (1) and (2) should not then differ in meaning, so that the inference in question should not be informative. But it clearly is informative.

And just as the puzzle parallels Frege's, so will the general outline of the solution: Dharmakīrti's strategy will be to attack the assumption that meaning is exhausted by reference. But my aim here is not simply to point out that Frege was anticipated by some twelve centuries. The senses that the Buddhist introduces will turn out to differ in important respects from Fregean senses. To see this, though, we must first examine the semantics that Dharmakīrti develops to account for our use of predicative expressions.

The Buddhist nominalist is faced with the standard difficulty of explaining how, in the absence of real properties, it can be true of this piece of paper that it is a product but false of it that it is a cow. The solution proposed by Yogācāra-Sautrāntika is to be found in the *apoha* theory of Buddhist semantics. According to this theory, the meaning of the general term 'cow' is given by the formula 'not noncow'. This is proposed as the nominalist alternative to the semantics of such Indian realists as the Naiyāyikas, who maintain that the meaning of 'cow' is the universal cowness which inheres in each of the infinitely many particulars that are

cows. Thus the *apoha* theory is meant to provide a way of characterizing all and only those particulars belonging to the class of cows without commitment to the existence of any property or set of properties common to the members of the class. This theory may be represented formally as follows. Associated with each term t is some one particular p_c. Then with p ranging over the domain D of particulars, the meaning of a term t is $\hat{p}(\sim -p_c p)$ (read: p such that it is not non-p_c). The $\sim -$function yields a pseudo-predicate when it takes particulars as arguments. This function may be analyzed in terms of the two types of negation of which it is composed – verbally bound (*prasajya-pratisedha*) and nominally bound (*paryudasa*). For each p in the domain D, $-p$ yields an ordered pair of sets, $\langle S_1, S_2 \rangle$, with S_1 the extension of $-p$ and S_2 the anti-extension of $-p$ (i.e., $S_1 \cup S_2$ is a proper subset of D; cf., choice negation). For each p_i, S_2 is a set with just one member, namely p_i. Application of verbally bound negation to this pair yields a pseudo-predicate whose extension S_3 is the complement of S_1 (i.e., $S_1 \cup S_3 = D$; cf., exclusion negation). We call this a pseudo-predicate because its extension has been determined in such a way as to avoid commitment to the existence of any characteristic or set of characteristics common to the members of S_3.

This theory has the following psychological model. The variable p ranges over mental images. A mental image is a sort of inner representation which may be caused either through perceptual cognition, or through cognition of the appropriate word once the conventions governing the use of that word have been learned. Given that both external particulars and mental images are absolutely unique and devoid of resemblance relations, one wonders how such conventions could be learned in the case of class terms. Consider the term 'cow', and suppose its extension to consist of images $p_1, ..., p_i$, each of these images being the sort of representation that would be caused were one in the right type of cognitive relation to what is commonly called a cow. Now an image, say p_1, manifests itself to consciousness in such a way as to be incompatible with or exclude the occurrence of a certain set of images which might otherwise occur, say the set $(p_{i+1}, ..., p_k)$. (Here $D = (p_1, ..., p_k)$.) Assume that the particular image p_c associated with the term 'cow' is p_1. This association comes about through p_i having been the representation

produced on the occasion of learning the term. Now $-p_1 = \langle (p_{i+1, ..., pk}), (p_1) \rangle$. Verbally bound negation is to be interpreted as absolute rejection of a set of images as a qualifier of a given image without commitment to the existence of some alternative qualifier as qualifying the given image. Thus to say of some representation p that it satisfies not non-p_1 is just to deny that it is a member of the set $(p_{i+1}, ..., p_k)$. But given that verbally bound negation functions like exclusion negation, this also means that the image in question must belong to the set $(p_{1, ..., pi})$. Thus the expression '~-p_1' is a way of characterizing all those representations which belong to the (direct) extension of the term 'cow', a way which does not make use of the notion of a real property of cowness.

How, then, does one respond to the command, 'Fetch a cow'? Having learned the relevant convention for 'cow', one knows that the word refers to anything which satisfies the pseudo-predicate ~- p_1. Now when we stand in the right cognitive relation to a real cow-particular, this causes the occurrence of a representation which satisfies the pseudo-predicate, since each cow-representation is endowed with the causal capacity to exclude the set of images $(p_{i+1}, ..., p_k)$. Thus we can recognize any representation from the set $(p_2, ..., p_i)$ as belonging to the (direct) extension of 'cow' simply by noting that the recollected image p_1 (which in effect serves as a paradigm) does not exclude that representation.

We can now see how an ultimately unique particular may correctly be said to be a product. We are also now in a better position to understand Dharmakīrti's claim that, strictly speaking, the productness of the particular is nondistinct from that particular itself. That about the particular which makes it correct to predicate 'product' of it is its capacity to produce a mental image which excludes certain other images. But this capacity of the particular is just an expression of the difference of the particular from all other particulars, i.e., its uniqueness. Now it is true that when we conceive of the particular as a product, we are not attending to its difference from all other particulars. There are, after all, certain particulars which are in neither the extension nor the anti-extension of the nominally bound negation of its image when that image is taken as an exemplar of 'product', namely those

other particulars which are products. As Dharmakīrti puts it, 'Words are ultimately based on just the particular, but they disregard the difference [of the particular] from everything else because they direct [attention] to just one difference.'[4] It is one difference which makes this particular a product, another difference which makes it a piece of paper. Dharmakīrti's point, though, is that we conceive of the particular as a product by disregarding its difference from those other particulars which are products. And our disregarding of that difference is, according to Dharmakīrti, a mere case of conceptual falsification. To recognize the productness of the particular is just to recognize its uniqueness – its difference from all other particulars – without attending to all of its differences. Hence at the level of ultimate truth, when we remove the results of all conceptual falsification, we are forced to say that about the particular which makes it correct to predicate 'product' of it is just its uniqueness, that is, the very particular itself.

We can now see why Dharmakīrti claims, first that both 'product' and 'impermanent' may properly be predicated of a particular, and second that the particular's productness and its impermanence are ultimately nondistinct. This brings us back to the original problem. It is, once again, alleged that the inference,

  This particular is impermanent
  because it is a product,

is not a valid means of knowledge, in that the reason 'product' is part of the meaning of the thesis, 'This particular is impermanent'. Dharmakīrti responds to this objection as follows:

> With respect to a single entity, there are as many exclusions as there are things with distinct forms. For that is different from the cause or effect which possesses the absence of that. And thus there are as many terms as there are exclusions, the terms having conventional meaning through exclusion by means of the effect and cause of that. Thus [the sentence], 'Speech is the immediate consequent of effort and the cause of hearing,' has meaning by virtue of excluding what is

not the effect or cause of that. Thus even though there be nondifference of essence [from property-possessor], that specific difference which is conceived of by means of some property or other cannot be conceived of by means of any other; it is not the case that all words are synonymous.[5]

The example of the term 'speech' is instructive. Any particular which is an instance of speech may be said to be both a product of effort and a cause of hearing. Thus for any particular instance of speech, the product-of-effortness of that particular and the cause-of-hearingness of that particular are essentially identical. We know, however, that the class of things denoted by 'product of effort' and the class of things denoted by 'cause of hearing', while overlapping, are not coextensive. Let us consider a world consisting of just ten particulars; that is,

$$D = p_1, \ldots, p_{10}.$$

Suppose, further, that

$$-(\text{product of effort}) = (p_1, p_2, p_3, p_4, p_5, p_6),$$
$$-(\text{cause of hearing}) = (p_5, p_6, p_7).$$

Thus we might have learned the meaning of 'product of effort' by noticing that the learning paradigm for this term produces an image which excludes the images produced by $p_1, \ldots, p_6$; and similarly for 'cause of hearing'. The extensions of these terms are, as usual, determined by the verbally bound negation of the nominally bound negation of the learning paradigm. Hence,

$$\sim\text{-}(\text{product of effort}) = (p_7, p_8, p_9, p_{10}),$$
$$\sim\text{-}(\text{cause of hearing}) = (p_1, p_2, p_3, p_4, p_8, p_9, p_{10}).$$

Suppose, further, that 'speech' denotes the particulars p_8, p_9 and p_{10}. Then an instance of speech such as the particular p_8 may correctly be said to be both a product of effort and a cause of hearing, occurring as it does in the relevant extensions.

Now one way of understanding the thesis that all reals are unique is that the essence of a particular is just its difference from all other particulars. Thus we might say that the essence of p_8 is given by its *verbally* bound negation:

$$\sim p_8 = (p_1, p_2, p_3, p_4, p_5, p_6, p_7, p_9, p_{10}).$$

Suppose that p_8 were the learning paradigm for one or another of the two terms 'product of effort' or 'cause of hearing'. If it were to serve as the paradigm for the former, then we would direct our attention to a proper subset of the extension of this verbally bound negation of p_8, namely $(p_1, ..., p_6)$. If it served as a paradigm for the latter term, then we would direct our attention to a distinct subset of the extension of this verbally bound negation of p_8, namely (p_5, p_6, p_7). Once again, Dharmakīrti does not take this fact – that the terms are applicable to the particular by virtue of distinct subsets of the extension of the total nominally bound negation of the particular – to show that the particular bears two distinct properties, product-of-effortness and cause-of-hearingness. When we, for instance, conceive of p_8 as a paradigm of product of effort, we do so not by attending to some feature of p_8 whereby it excludes $(p_1, ..., p_6)$, but rather by disregarding or over-looking the fact that p_7, p_9, and p_{10} also belong to the extension of its verbally bound negation. It is our failure to take in the entire exclusion class which makes it possible for us to view p_8 as a product of effort, not some special feature of p_8 itself. But the point which Darmakīrti is most concerned to make here is that the two subsets are distinct. Thus we cannot conclude from the fact that one of these terms is applicable to the particular that the other must be as well. And this, according to Dharmakīrti, counts as showing that the two terms must differ in meaning.

And now consider what happens when we have two terms t and t' which are in fact coextensive. In the above example we used an artificially small domain, but for most terms both the exclusion class and its complement (the extension of the term) are so large as to make it impossible to hold all their members before the mind at once. Thus in general we determine that a particular p_n belongs to the extension of t by noting that its

image is not excluded by the image of the learning paradigm for t. This means that we may know the learning paradigms of both terms, know that both terms are predicable of particulars p_m, p_{m+1}, p_{m+2}, know of no particulars of which one but not the other term is predicable, know that term t is predicable of p_n, but still not be able to determine from these facts alone whether t' is also predicable of p_n. Indeed this will hold regardless of whether t and t' differ in extension (like 'product of effort' and 'cause of hearing') or are coextensive (like, according to the Buddhist, 'product' and 'impermanent').

When a term t is correctly predicated of a particular p, its referent is just p. But our ability to assert t of p depends on some subset of the verbally bound negation of p being the same as the exclusion class determined by non-t. Dharmakīrti's first point in his response to the uniformativeness objection is that two terms t and t' may both have p as their reference yet differ in the subsets of p's verbally bound negation which they select. This counts, for him, as establishing a difference in meaning. His second point is that knowing this part of the meaning of t as applied to p need not even consist in being able to fix the boundaries of the relevant subset. It may consist in nothing more than knowing that p is like the paradigm for t in not being non-t – something we establish by seeing if the image produced by p is excluded by the paradigm's image. Thus it is possible to know what it would mean to assert two terms t and t' of p without knowing whether the subsets of p's verbally bound negation which they select are the same or different. This is why it is possible for one to know the meaning of 'product' and 'impermanent', know that 'product' is predicable of a particular, and not know whether 'impermanent' is also predicable of that particular. It follows that the inference in question is a valid means of knowledge, in that it can produce cognition of a previously uncognized proposition.

In effect, Dharmakīrti is here distinguishing between the sense and the reference of a predicative expression. As a nominalist working within a tradition dominated by the reference theory, it is natural that he should take as the referent of such a term that particular in its extension that is denoted on an occasion of use. *Apoha* semantics explains how this is possible, and in

doing so it turns the predicate into a kind of demonstrative, an expression whose referent in any occurrence is just a particular but which may be used to denote distinct particulars on different occasions. But the problematic inference shows that the meaning of such a term in a sentence is not just its demonstratum. In order for this inference to be informative, the sentences, 'This is a product', and 'This is impermanent', must somehow differ in propositional content when asserted of the same particular. The difference lies in the manner in which the particular is presented in the two sentences: in the first, by way of not belonging to the exclusion class formed by the paradigm image for 'product'; in the second, by way of the exclusion class for 'impermanent'. Now in fact these two exclusion classes are coextensive, but the competent speaker need not know this. (For the Buddhists this is an *empirical* discovery, which comes about through the failure of a reasoned search for counter-examples.) All the competent speaker need know is that that is a product which is $\sim -p_p$ and that that is impermanent which is $\sim -p_i$. And since p_p, the paradigm for 'product', will in general be a different image than p_i, the paradigm for 'impermanent', the mode of presentation of the particular denoted by 'this' in the two sentences will also differ from one sentence to the other.

It is important to point out that what I am calling sense in Dharmakīrti's semantics is not the mental image that serves as paradigm for a term. Dharmakīrti's is not an idea theory or a conceptualist theory of meaning. For the Buddhists the psychological machinery that explains our use of words is purely causal in nature and semantically invisible. Indeed there is here no *entity* whatever that is the sense of an expression. To say of a term that part of its meaning is its sense is to say that the term presents its referent in a particular way, that understanding a use of the term involves thinking of the referent in a manner that involves propositional structure. This is just what Dharmakīrti is claiming. To understand the statement of identity, 'This is a product', is to grasp the particular denoted by 'this' *twice*: once as just this unique particular that is different from every other particular; but also as a particular that is different from those particulars in the exclusion class formed by the paradigm for 'product'. The first grasping

is direct and nonpropositional; the second is a grasping of that particular by way of the sense of 'product'.[6]

Several points emerge from all this. First, it should be noticed just how austere a theory of sense this is. To understand the sense of 'product' is not to have a theory about those things that are products. (If one understands the term, then one will no doubt have various beliefs about products, but these beliefs are not part of the word's sense.) The senses that Dharmakīrti introduces will not support a doctrine of truth by virtue of meaning alone.

Nor are these at all like full-blown Fregean senses. Salmon[7] distinguishes among three components of Frege's notion of sense: the psychological – the purely conceptual representation which a speaker associates with a term; the semantic – that which fixes the reference at a possible world; and the cognitive – the information content that a word contributes to a sentence in which it occurs. Frege held that it is one thing that accomplishes all three tasks. Salmon makes the point that while a Kripkean direct reference theory is incompatible with this full-blown Fregean sense of sense, it is quite compatible with a leaner sense theory, in particular one that takes sense to be just the cognitive content of a term. Dharmakīrti's introduction of senses yields a kind of historical buttressing of Salmon's point. It is clear that a purely referential theory of meaning exerts a very strong pull on Dharmakīrti: The semantics of *apoha* is constructed in just such a way as to guarantee a referent for each meaningful term. He abandons a pure reference theory only in response to the informativeness puzzle, and the senses he introduces play no other role than that of cognitive content. The sense of 'product' is not the mental image a speaker associates with the term. Nor is it that which fixes the reference of the word – that job is done by the causal chain that extends back to the establishment of the convention governing the word's use. The sense of 'product' is just the information conveyed by its occurrence in a sentence – that its referent is different from the nonproducts.

The second point that emerges is more strictly historical in nature. In the Western tradition senses first emerged as part of a general strategy for handling predicative expressions without invoking real universals. It is only

relatively recently that the informativeness puzzle, and the allied phenomenon of referential opacity, have become important motivators of the sense-reference distinction. Dharmakīrti's discussion shows that it is not nominalism per se that leads to senses. By treating the predicate as a quasi-demonstrative, his theory yields a reference for such terms and thus appears compatible with a pure reference theory of meaning, until the informativeness puzzle arises. This is important because of the light it sheds on the controversy over the semantics of proper names. I suspect that much of this controversy stems from a tendency to associate the sense-reference distinction with the distinction between a particular and its properties. The semantics of Buddhist nominalism suggests that this association is mere historical accident.[8]

3.

The Prābhākara school of Mīmāṃsā might seem an odd place to look for clues concerning the sense-reference distinction. The Prābhākaras are both metaphysical and epistemological realists. Their metaphysical realism obviates the need for any complex function to serve as criterion of application of a general term: Since the universal cowness is perceptible, our ability to recognize a particular as the sort of thing that is called a cow is readily explained by our ability to perceive the cowness which inheres in that particular. Their commitment to epistemological realism means that the object of any cognition will have to be an extra-mental, extra-linguistic entity. Since the Prābhākaras think of sentences as serving, under specified circumstances, as means of knowledge, it is natural that they should think of our cognition of sentence meaning as the direct awareness of some extra-mental, extra-linguistic entity. Thus a strong form of semantic realism, in particular a strong form of the reference theory, is a natural outcome of their metaphysical and epistemological realism. Prābhākara would thus seem an implausible candidate for a discussion of the sense-reference distinction. This school is nonetheless forced to admit something sense-like into its

account of sentence comprehension. Our task shall be to see how this admission emerges out of its investigation of how we understand sentences.

In Indian philosophy of language there are three basic positions on the comprehension of sentences: the pure sentence theory, the designated relation theory, and the related designation theory. These positions can be seen as deriving from two basic principles which can guide our investigation of sentence meaning. The first is the context principle, according to which a word has meaning only in the context of a sentence. In its Indian manifestation this principle is generally supported by the observation that we never employ words in isolation, but only within sentences. The second principle is the composition principle, according to which the meaning of a sentence is a function of the meanings of its constituent words. This principle is generally supported by the observation that we understand a sentence only if we know the meanings of all its component words.

According to the sentence theory, the sentence is the basic, indivisible semantic unit. Word meaning is a mere theoretical construct of the science of grammar. Words stand to sentences, the sentence theorists claim, in the relation which we ordinarily believe to obtain between phonemes and words. While we would all agree that a word cannot be understood unless we cognize all of its constituent phonemes, we would not say that a phoneme is a semantic unit. By the same token, the sentence theorist argues, while we cannot understand a sentence unless we cognize all of its words, the fact that words are never used in isolation shows that the word is likewise not an independent semantic unit. This theory is obviously guided by the context principle to the exclusion of the composition principle.

The designated relation theory, by contrast, maintains that the word is the basic semantic unit. A word has as its meaning the entity which it designates.[9] Thus 'Devadatta' names the particular Devadatta, 'bring' names the action of bringing, and 'cow' names the universal cowness. Each of these words is capable of designating its meaning in isolation, and thus its semantic contribution to a sentence is invariant across sentences. To understand the meaning of a sentence we merely assemble the meanings of the constituent words to form a complex. Thus the sentence, 'Devadatta

brings the cow', designates or means the state of affairs, Devadatta bringing the cow. This theory is clearly motivated by the composition principle.

The related designation theory[10] is the Prābhākara view on sentence comprehension. This view has it that the meaning of a word as occurring in a sentence is some one entity in relation to the entities designated by the other words of that sentence. Thus the word 'bring' in the sentence, 'Bring the cow', designates the action of bringing in relation to the cow. This view is, I think, best seen as an attempt at constructing a theory of sentence comprehension which does justice to the context and composition principles alike. In accordance with the principle of composition, it is asserted that words do have meanings, and that the meaning of a sentence is determined by the meanings of its component words. But in consonance with the context principle, the theory claims that words do not have meaning in isolation but only when used in sentences. This can be seen from the fact that, for the Prābhākaras, the meaning of a word is its designatum or referent. Since a word can, on this view, complete its designative function only when the relata are brought to mind by the other words in a sentence, it follows that a word cannot be said to have meaning in isolation. These points should become clearer through an examination of some of the arguments for and against the related designation theory.[11]

The principal Prābhākara argument against the pure sentence theory is a variant on the 'infinite resources, finite capacity' strategy more recently used by Chomsky. Consider the eight sentences obtained by inserting the names 'Śiśa', 'Vatsa', 'Arbhaka', and 'Dimbha' into the sentence frames, '_____ bring the cow' and '_____ tie the cow'. Since these are eight distinct sentences, the sentence theorist must say that in order to understand them, one must master eight distinct designative powers. (A designative power is the capacity of an utterance-type to designate its referent.) If one allows that words have meanings, however, then since these sentences are composed out of seven words (the definite article is not employed in the Sanskrit equivalent), understanding the sentences requires mastery of only seven designative powers. Moreover, we can produce eight new sentences by inserting 'white' before 'cow' in each of the original eight. The sentence

theorist will then need 16 designative powers where a word theorist such as the Prābhākara needs only eight. Similarly, the sentence theorist is forced to deny the existence of any semantic relation between a sentence and its negation. In general it is argued that if we neglect the composition principle and thus deny that words play a semantic role in understanding sentences, the ability of the competent speaker to understand a very large class of sentences becomes virtually inexplicable.[12]

A chief Prābhākara objection to the designated relation theory is that this theory does not yield any natural explanation of a central feature of sentence meaning – that the meaning of a sentence is a unified relational complex. It is assumed, of course, that the meaning of a sentence is whatever a sentence designates; and Indian philosophers have generally taken the designatum of a sentence to be a state of affairs. Now a state of affairs is complex, consisting of two or more entities. But the entities which make up a state of affairs all stand in thoroughgoing interrelation. Thus if a sentence is to be said to designate a state of affairs, it must be capable of presenting the constituent entities not merely as a set of objects but as a unified relational complex.

The Prābhākaras use this claim – which we might call the relational unity thesis – against the designated relation theory in the following way. The latter theory involves the claim that a word has meaning in isolation – that it is capable of designating its referent apart from any sentential context. But this must mean that a word presents its meaning as an independent, unrelated entity. It would seem to follow, then, that on the designated relation theory the meaning of a sentence is just a collection of independent entities. The composition principle taken alone leads us into conflict with the relational unity thesis in that the composition principle seems to require that the meaning of a sentence be a function just of the meanings of its words. The result, as one author puts it, is that a sentence meaning becomes nothing more than a row of stakes. But surely there is all the difference in the world between a sentence and a list of names.

That the designated relation theorists perceived and sought to overcome this difficulty in their position is shown by the very name of their theory.

The theory is so called because it asserts that sentence meaning is obtained through the relation of those entities designated by the component words. Its proponents employed various means to try to show how a string of words with independent meanings could give rise to apprehension of a unified relational complex. The basic Prābhākara strategy in attacking these proposals is to try to show that nothing other than the words themselves can perform the function of presenting the relational component of sentence meaning. For instance, it is clear that the independent entities supposedly designated by the words cannot themselves cause us to apprehend their interrelations. If we perceive at three successive moments a patch of white, a neighing sound, and a certain odor, the color, sound and smell do not themselves cause us to apprehend their interrelatedness in a white, smelly horse. Nor could we say that words somehow endow their independent referents with the capacity to cause apprehension of relation. For instance, some designated relation theorists say that speaker's intention endows the designatum with the capacity to bring about cognition of relation. But this really amounts to saying that a speaker uses a word with the intention of designating some entity in relation to other entities. And that is tantamount to saying that the meaning of a word is just some one entity in relation to others. Again, other designated relation theorists claim that we go from independent entity to entity in relation by a kind of metaphorical transfer: A word directly designates an entity and secondarily or metaphorically implies that entity in relation to other entities. But, it is replied, the metaphorical use of a term is always exceptional: If we as a rule use a term to convey some meaning, that meaning must be its literal meaning, not its metaphorical meaning. And since we as a rule use words to designate entities in relation, the relational component must be part of the literal meaning of a word. The designatum of a word can only be some entity in relation to those entities designated by the other words in a sentence.

While the Prābhākaras make extensive use of the relational unity thesis as a way of motivating their related designation theory, they also display an underlying concern with the issue of what it means to say that one knows the meaning of a word. Thus against the designated relation theorist's claim

that word meanings may be learned ostensively, they propose the following account of language learning. The child, by observing competent speakers uttering and obeying various injunctions, learns that the meaning of an injunction is the action which is designated by that injunction. Thus it will learn that the meaning of, e.g., 'Devadatta, bring the cow', is the action of Devadatta bringing the cow. When the child has mastered a sufficient stock of sentences, it proceeds to the level of word meaning through the processes of inclusion and exclusion. Suppose we have mastered the meaning of these four sentences:

(1) Bring the cow.
(2) Bring the horse.
(3) Tie the cow.
(4) Tie the horse.

We notice that (1) differs from (2) just in the presence or absence of 'cow' from the sentence frame, 'Bring the _____'. Thus we hypothesize that the meaning of 'cow' will be that which is present in the satisfaction conditions of (1) and absent from the satisfaction conditions of (2). And similarly with (3) and (4). Our hypothesis is then confirmed when we notice how the presence of 'cow' in the distinct sentence frames, 'Bring the _____'. and 'Tie the _____' affects the satisfaction conditions of (1) and (3) respectively. That is, we discover the meaning of a word by noting how its exclusion from a given sentence frame and its inclusion in distinct sentence frames affect sentence meaning.

It might be thought that the process of inclusion and exclusion will lead us to the conclusion that 'cow' means cowness. This is wrong, according to the Prābhākara. Comparison of (1) and (2) justifies our saying that in (1) 'cow' designates cowness in relation to bringing. Comparison of (3) and (4) justifies our saying that in (3) 'cow' designates cowness in relation to tying. But comparison of (1) and (3) does not justify our saying that in general 'cow' designates cowness. The closest we can come to specifying what is common to the meanings of 'cow' in (1) and (3) is cownessR_____. But since

there is no such entity as a binary relation with only one relatum, we cannot say that the designatum of 'cow' is cownessR_____. We are thus forced to say that the meaning of 'cow' is cowness in relation to those entities designated by the other words in a sentence in which 'cow' occurs. And, it is worth noting that the same considerations apply to proper names as well.

While this is not expressly articulated, it seems that the underlying principle which the Prābhākaras have in mind here is that we do not know the meaning of a word unless we know how it is employed. We use words in the performance of a variety of linguistic actions, but these actions are in general performed only through the utterance of sentences. Thus we discover the meaning of a word only by investigating the semantic contribution it makes to the various sentences in which it occurs. While ostension might serve in some cases as an effective means of *preparing* for teaching the meaning of a word, it can never by itself bring about mastery of semantic role. We can learn to associate the phoneme-sequence 'Devadatta' with the person Devadatta through ostension. But the novice language learner will learn the use of 'Devadatta' – to bring about actions performed by Devadatta, to designate states of affairs in which Devadatta participates, etc. – only through exposure to various sentences in which the word occurs. We may, of course, use ostension to introduce new proper names into the lexicon of a competent speaker. But this is possible only because the competent speaker already understands the semantic role of a proper name (to designate a person in relation to entities designated by other words in a sentence in which the name occurs) and understands the convention governing ostension as a means of introducing proper names. The availability of such linguistic shortcuts merely obscures the fact that part of the meaning of a word is just the semantic role it plays in the various sentences in which it occurs.[13]

One stock objection to the related designation theory is the infinite correlates objection. A cow may be designated in relation to any one of a large number of entities: such actions as bringing, tying, and milking, such properties as white and fat, such substances as a barn and a field, etc. Moreover, a cow may be indirectly related, by way of those entities with

which it enters into direct relations, with yet more entities: with Devadatta through relation with bringing, with vision through relation with white, etc. In each such case the cow is capable of being designated as related, through relation with its direct relatum, with any of its indirect relata. Clearly, then, the cow is capable of being designated as participating in an indefinitely large, and possibly infinite, number of relational complexes. Now each such relational complex is a distinct entity. But the word 'cow' must be capable of designating a cow as participating in each of these complexes. Hence 'cow' must have an indefinitely large number of distinct meanings. In this case it is impossible to understand how we are able to comprehend novel sentences containing 'cow'.

The Prābhākara answers this objection in the following fashion. Suppose that we have mastered the use of 'cow' and 'goat' in such environments as, 'Bring the _____', 'Feed the _____', 'The _____is white', etc. We also know the meaning of 'Milk the cow,' but have not previously encountered the sentence, 'Milk the goat.' Now the context principle, when taken in conjunction with the realist scruples of the Prābhākaras, precludes us from saying that we know in advance the meaning of 'goat' in this sentence. For here 'goat' designates a goat in relation to milking, and by hypothesis we have not previously encountered a case of the word's being used to designate a goat in relation to milking. This does not mean that we shall fail to understand the sentence, however. Through our mastery of 'goat' in different sentences, we have come to associate the word with what is called its own-form or own-meaning, goatness. This own-meaning is apprehended in what is described as a type of nonpropositional cognition, which is akin to the immediate perceptual apprehension of goatness. This is not yet apprehension of meaning, however; for this, a further stage is required. We recollect that 'goat' has been previously used to designate a goat in relation to bringing, a goat in relation to white, a goat in relation to Devadatta, etc. Thus we know that 'goat' here will be used to designate a goat in relation to whatever is designated by the other words in the sentence. That is, memory informs us that 'goat' has always been used in the past to designate a goat in relation to some entity or complex of entities, namely whatever was

designated by the other words of the sentences in which it occurred. We are thus led to suppose that 'goat' is likewise here being used to present goatness together with its relation to whatever is presented by the rest of the words of the sentence. And we proceed in this fashion until we have obtained the meaning of the novel sentence as a whole.

It is here that we can discern at least implicit acceptance of the sense-reference distinction. The Prābhākaras never actually claim that word meaning has two distinct components; for them the meaning of a word is just that related entity a word denotes when used in a sentence. However, in distinguishing between the own-meaning of a word and the meaning of that word as used in a sentence, they are on the threshold of such a distinction. The point of the infinite correlates objection is that the semantic contribution of a word to sentences must have at least some common core that is invariant across different sentences. In accepting the composition principle, the Prābhākaras are committed to this claim. Now one possible candidate for the role of this common core is a Fregean unsaturated entity, but the Prābhākaras would reject such a solution for two reasons. First, their ontology does not allow for the existence of a binary relation with only one relatum, e.g., cownessR_____. Second, the relation which obtains between cowness and milking in 'Milk the cow', is a different relation than that which obtains between cowness and white in 'The cow is white.' Thus it appears that only the entity itself in its unrelated state can play this role. But merely to associate this entity with a word is not to understand the meaning of the word, for word meaning also includes a word's contribution to sentential unity, and this contribution will vary across sentences. The Prābhākaras put this point in terms of their distinction between the non-propositional cognition of a word's own-meaning and the recollection of the word's previous uses to designate that entity in relation to other entities. This is just the distinction between mere associative knowledge and propositional knowledge that is characteristic of the sense-reference distinction.

Of course it seems implausible to suppose that in order to understand the use of a word in a novel sentence one must literally recollect and run

through previously understood uses of that word in different sentences. If this is what the Prābhākaras are claiming, they are mistaken. A more charitable reading would have them saying only that to explain sentence comprehension we must ascribe to the competent speaker not just the ability to associate word with own-meaning but also the propositional knowledge that the word is used to designate that entity in relation to other entities. That is, this psychological model, which has the speaker recalling previous uses and thereby realizing that the word designates an entity in relation, is merely to be taken as a way of emphasizing the point that propositional knowledge must be invoked to explain speaker behavior. If this is what the Prābhākaras are saying, then they are surely right. While the ability to associate 'goat' with goatness can be explained in terms of purely neural machinery, the ability to understand 'goat' in a novel sentence, requiring as it does the ability to seek those other entities to which it is asserted to be in relation, cannot be explained without invoking propositional attitudes. The Prābhākaras say that upon hearing the first word in a sentence one grasps its own-meaning as 'related in general, unrelated in particular'. By this they mean that one grasps that the own-meaning is related to the entities designated by the other words of the sentence, *whatever those entities might be*. Here the occurrence of the variable in a tipoff: While the speaker might be said to be related de re to goatness, his relation to goatnessRx, with variable *x*, can only be propositional. Indeed the thrust of the infinite correlates objection was precisely that one cannot have knowledge *of* the infinitely many relational complexes into which goatness can be asserted to enter. The Prābhākara answer is just that one can nonetheless be said to know all of these complexes, namely by way of knowledge that the general sentence, 'The meaning of "goat" is goatnessR*x*' is true.[14]

Thus the Prābhākaras have, albeit unwittingly, introduced a new motivation for positing senses. It should be pointed out that these are very austere senses indeed, and far from full-blown Fregean senses; they do not, for instance, help solve the informativeness puzzle. Their theory does, however, give added weight to the claim that proper names have senses. And it also yields what I think is a better way of arguing for the sense-

reference distinction as applied to predicative expressions than that supplied by Frege.

Frege seems to have thought it would be odd if that which determines the truth-value of a sentence is not something in the world; and since predicative expressions help determine the truth-values of the sentences in which they occur, they, like singular terms, must denote something in the world. This is quite uncontroversial; the difficulty arises over Frege's further claim that such expressions denote incomplete or unsaturated entities, these being said to be the referents of predicates in just the way that the bearer of a proper name is said to be the name's referent. This is objected to on the grounds that unsaturated entities are ontologically queer, and that their posit is unnecessary given that the role of denotatum can be filled by the extension of a predicate. A deeper objection, though, would be that this involves unnecessary duplication of effort: The notion of incompleteness was originally brought in to help solve the problem of sentential unity, but that problem was solved by Frege at the level of sense. Is it really clear that the problem has an analogue at the level of reference? Dummett takes Frege to have been seeking, with his doctrine of unsaturated entities, a way around the problem of explaining the relation between universal and particular;[15] but it can be questioned whether solving this problem is a job for semantics.

The Prābhākaras would be among those who find unsaturated entities ontologically queer, but their potential contribution to the debate over the meanings of predicative expressions goes much deeper than this. Their theory requires that the meaning of any word have two components: the own-meaning, an object that can be grasped in nonpropositional cognition; and that which they consider to be the actual meaning of a word, the own-meaning in relation to other objects. Now the requirement that the own-meaning be the sort of thing that can be grasped in nonpropositional cognition means that it must be possible to apprehend it independently of any relations it might bear to other objects. This requirement is motivated by the fact that the infinite correlates objection cannot be answered in a way that is consonant with the composition principle unless there is some one entity that can be grasped, independently of relational ties with other

entities, as the core meaning of a word. Any number of entities could play this role in the case of predicative expressions: universals, properties, and perhaps even unsaturated entities if they are the sort of thing that can be grasped directly, without the mediation of a propositional attitude. Provided this basic requirement has been met, the related designation theory is, I think, itself neutral on the question of what type of entity the own-meaning or referent of a predicative expression is. What it does require is that a predicative expression have, in addition to its sense, the ability to pick out some one entity as its own-meaning. This is tantamount to distinguishing between the sense and the reference of a predicative expression.

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NOTES

1 John J. McDowell: 'On the Sense and Reference of a Proper Name,' *Mind* **LXXVI**, 159–85.

2 The contrast I have in mind here is this: One's dog may come to associate the name 'Emily' with Emily, and in this sense may be said to know who Emily is; but one's dog cannot be said to have the knowledge that 'Emily' denotes Emily, or that 'Emily' denotes the smallest adult Abyssinian in Bloomington, etc.

3 *The Pramāṇavārttikam of Dharmakīrti* (hereafter PV), Raniero Gnoli (ed.), Istituto Italiano per it Medio od Estremo Oriente, Rome, 1960.

4 PV, p. 25.

5 PV, p. 25.

6 Compare David Kaplan's account of a Fregean theory of demonstrations in, 'Demonstratives', unpublished typescript, 1977, pp. 36–39.

7 Nathan U. Salmon: 1979, 'Review of Leonard Linsky, *Names and Descriptions*', *Journal of Philosophy* **76**, 436–52.

8 It should be clear that the *apoha* theory also yields a solution to the informativeness puzzle when it is couched (as Frege couched it) in terms of proper names. Several centuries after Dharmakīrti his Tibetan Buddhist successors formulated the problem in just this way and used the approach I have described here to solve it. This is discussed in a paper by Tom Tillemans, 'Identity and Opacity of Reference in Tibetan Buddhist Logic', which was presented at the fifth annual conference of the International Association of Buddhist Studies, Oxford, August 1982.

9 In what follows, 'designates' and 'names' will be used as synonymous with 'refers'.

10 The terms 'related designation' and 'designated relation' are readily confused. The designated relation theory (*abhihitānvayavāda*) is the theory that those things which are designated by the words of a sentence are subsequently placed in relation. The related designation theory (*anvitābhidhānavāda*) is the theory that what is designated by a word in a sentence is already related. Thus the two names can be tied to the respective theories if 'designated relation' is thought of as the relation of what is already designated, and 'related designation' is thought of as the designation of what is already related.

11 These are examined in greater detail in my 'The *Prābhākara Mīmāṃsā* Theory of Related Designation', in B. K. Matilal and J. L. Shaw (eds.), *Analytical Philosophy in Comparative Perspective*, Reidel, 1985, pp. 253–297.

12 In 'Infinite Sets, Unbound Competences, and Models of Mind', *Perception and Cognition*, Minnesota Studies in the Philosophy of Science, vol. 9 (Minneapolis: University of Minnesota Press, 1978), pp. 183–200, Robert Schwartz attacks some recent formulations of the infinite resources, finite capacity argument. Richard Grandy formulates a version of the argument that appears immune to Schwartz' criticism in 'Semantics Intentions and Linguistic Structures', *Notre Dame Journal of Philosophical Logic* **23**, 329–30.

13 Compare Dummett's linking of the context principle and Frege's endorsement of contextual definition in *Frege: Philosophy of Language*, London: Duckworth, London (1981), p. 496.

14 There is, of course, a sense in which if one knows that every prime number greater than two is odd, then one knows of each prime number greater than two that it is odd. But this is not a sufficiently strong sense of knowledge de re to satisfy the opponent on his own terms. What he demands is that the speaker be causally related in a cognitively significant but nonconceptual way to each of the infinitely many relational complexes. This demand cannot be satisfied, hence the Prābhākara move to propositional cognition as a way of showing that the speaker does know all these complexes in a way, namely the knowledge-that way. The distinction I am appealing to here is that used by Aristotle to solve the *Meno* paradox of knowledge in *Posterior Analytics* I.1. It is also related to the *de relde dicto* distinction as drawn by Burge in 'Belief *De Re*', *Journal of Philosophy*, **LXXIV**, 338–62.]

15 *Frege: Philosophy of Language*, pp. 174–7.

Bhartṛhari's Paradox[*]

Hans G. Herzberger and Radhika Herzberger

I

Assuming that many things in our experience and in the world can be named, one may consider whether there are any limits to this process, and whether there are any things which cannot be named. This was a standing question in traditional Indian philosophy, with some schools of thought affirming that everything could be named while others denied it. The affirmative position was especially characteristic of the Nyāya-Vaiśeṣika school:[1]

> "Naiyāyikās are fond of a saying, which is sometimes found at the head of their works: whatever is, is knowable and nameable".

The negative position was characteristic of the Buddhist philosophers and may have been held by others as well. In its most general terms it may be formulated by an existential statement:

Unnameability Thesis: There are some things which are unnameable. While it may be surprising and to some extent counter to commonsense, this unnameability thesis belongs to the theory of language and should be subject to rational inquiry. But perplexities arise as soon as one tries to verify it by positive instances, for any positive instance of the unnameability thesis seems bound to name that which it declares to be unnameable. This is the problem we call "Bhartṛhari's paradox", after the fifth century

grammarian and philosopher of language, who clearly enunciated it in his *Vākyapadīya.*

Whether or not Bhartṛhari himself actually held the unnameability thesis is a difficult problem which we shall examine at some length. Some of his remarks at least suggest the unnameability thesis, without definitively committing him to it. Those who have studied the *Vākyapadīya* will perhaps appreciate how studiously noncommittal its author tends to be on matters of philosophical doctrine. In as much as the texts are inconclusive, the most we can do here is to formulate the exegetical problems with as much clarity as present understanding of Bhartṛhari's theory of language seems to permit.

To make the problem vivid to modern readers, we will then introduce some arguments of our own in favour of the unnameability thesis. To the extent that these arguments provide some support for that thesis, they strengthen the paradox. For it is in the nature of the problem that every argument advanced to support any instance of the unnameability thesis, drives one still more firmly into the paradox. This is one of the most perplexing features of our problem: the stronger those arguments, the more firmly they undercut their own conclusions; for they naturally tend to involve repeated reference to the very things whose unnameability they undertake to establish.

II

In this section we will examine some textual grounds for attributing the unnameability thesis to Bhartṛhari, and weigh these against conflicting interpretations. This examination will leave unresolved problems on both sides. But we hope the discussion will serve to focus the textual issues. In any case it will provide us with several interesting candidates for examples of things which cannot be named. Whether or not Bhartṛhari himself regarded these particular things to be strictly unnameable, he did single them out and seemed to be very well aware of their problematic status in connection with names and other denoting expressions.

Our text consists of the opening verses of the *Sambandhasamuddeśa* (*SS*) which is part of the third chapter of Bhartṛhari's *Vākyapadīya* (*VP*). *VP* is a treatise on Grammar, the science on which the interpretation of the Vedas depends. The topic of *SS* is the power of words to convey their meanings, and one of its themes is the doctrine that this power is no less 'eternal' and 'unchanging' than the Vedic injunctions themselves. In the course of discussing this theme, Bhartṛhari devotes some verses to the problem of using language to speak about its own fundamental powers.

The first verse of our text mentions several things and then comments on 'their relations':[2]

> From words which are uttered, the speakers's idea, an external object and the form of the word itself are understood. Their relation is fixed.
>
> (*SS* 1)

This highly comprehensive and so far nameless relation is Bhartṛhari's primary candidate for something unnameable. He explicitly says that it cannot be signified *in a certain way* (svdharmeṇa = on the basis of a property belonging to it). The main exegetical question is whether or not Bhartṛhari's semantic theory affords any *alternative* way of naming or signifying the relation in question. And, short of a full-scale reconstruction of that theory, as expounded throughout the nearly two thousand verses of the *Vākyapadīya,* it seems to be very difficult to settle that question in any definitive way. The problem is compounded by several difficulties of reconsiling Bhartṛhari's linguistic practice with his own linguistic theory. For he uses various linguistic devices to identify and denote the relation in question; and it is by no means clear how his own linguistic theory could accommodate some of those devices.

The relation in question connects 'words' with 'meanings', where each of these two terms covers a heterogenous variety of things. Under 'words' may be included morphemes, words and compounds of various grammatical categories: simple and compound nouns, verbs, particles, prefixes, and so forth.[3] Under 'meaning' may be included individual substances, processes,

powers, classes of these things, properties and ideas of any of the foregoing, and perhaps other things as well.[4] To cover this kind of range in English one needs to resort to one of the most general and flexible semantic terms like 'meaning' or 'signification'.

The third verse of our text tells us that the word-meaning relation is closely connected with the genitive case and with something (*vācya-vācaka*) which we render in English as 'significance':[5] The relation between words and meanings is understood by means of the genitive:

"This is the signifier (*vācaka*) of that;
that is the signified (*vācya*) of this."
Thus the thatness (*tattvam*) of the relation is signified.

(*SS* 3)

We cannot give a full account of this relation, and above all it should not be hastily identified with any modern counterpart from philosophical or commonsense semantics. We have chosen the word 'signifies' as a placeholder for a very comprehensive semantic relation whose content could be gradually unfolded by developing Bhartṛhari's full theory of language in its surrounding philosophical framework. The main thing for present purposes is to observe that the same Sanskrit term (*vācakam*) recurs in the next verse, modifying the term 'expression' (*abhidhānam*):[6]

Of the relation there is no signifying expression (*vācakam abhidhānam*) on the basis of a property belonging to it.

(*SS* 4a)

Now we want to examine the logical bearing of this verse on the proposition:

B1   The significance relation is unnameable

which is an instance of the unnameability thesis. There are several differences of wording between *B1* and the textual passage *SS 4a,* and the exegetical problem is whether or not the passage, taken in the larger context

of Bhartṛhari's semantic theory, implies *B1*. We will comment on each of three points of difference.

In the first place, *B1* explicitly identifies "the relation" mentioned in *SS 4a* as the signifier-signified relation, under discussion in these verses of *SS*. The text is quite clear on this point and we do not regard it as controversial.

In the second place, B1 has 'name' where SS 4a has 'signifying expression'. Given the very comprehensive character of the signifying relation, it is natural to regard names as a special kind of signifying expression. For our purposes, the most prominent distinguishing feature of names is their grammatical status as singular nouns or singular nounphrases. On this usage one would not regard prepositions, suffixes or verbs as names of what they signify. We shall provisionally regard singular pronouns and demonstratives as names, on the understanding that this treatment is eminently open to revision.

In the third place, *B1* omits the qualifying phrase 'on the basis of a property belonging to it'. The justifying argument for this omission would be that the phrase in question is not understood in context as a restrictive qualification, for in Bhartṛhari's semantics all naming is 'on the basis of a property'. Thus *VP* III.14.274 states that words have no application without 'occasioning grounds'; and other passages suggest that even proper names and perhaps demonstratives as well denote through some fixed or contextually determined individuating property.[7]

The last of these points is one of the most important in evaluating the claim that *SS 4a* in its textual context implies *B1*. If Bhartṛhari's semantics could accommodate names with some mode of significance other than that 'on the basis of a property', then *SS 4a* would not commit Bhartṛhari to the unnameability thesis. But we have not been able to find any direct evidence that he did admit names with any alternative mode of significance. Could there be some indirect evidence?

One might look for indirect evidence in Bhartṛhari's own linguistic practice. He uses various Sanskrit expressions to introduce the significance relation and identify it to his readers. The first verse of our text introduces it as *teṣām saṃbandhaḥ* (their relation), the third verse calls it *yogah*

śabdārthavoḥ (the relation of word and meaning), and so on. These are nominal expressions and so may be classified as names in our broad sense, which are *prima facie* counterexamples to *Bl.* And so, the argument would run, had Bhartṛhari been committed to *B1* in full strength, and not merely to the weaker proposition *SS 4a* he would have been committed to a principle which is inconsistent with his own linguistic practice. Therefore, the argument continues, one should regard the phrase 'on the basis of a property (etc.)' as a restrictive clause, and construe the various names Bhartṛhari uses for the significance relation, as names which signify on some other basis.

This indirect argument against attributing *B1* to Bhartṛhari, cannot be dismissed lightly. But a fuller reflection will show that it cannot be taken to be decisive either. In the first place at least one other verse of our text apparently implies an unqualified instance of the unnameability thesis, in connection with the inherence relation:[8]

> The relation called inherence, which extends beyond the signifying function (vācyadharmātivartinī) cannot be understood through words either by the speaker or by the person to whom the speech is addressed.

(*SS* 19)

Helārāja's commentary on this verse ends with the statement: "Therefore it (inherence) is truly unsignifiable (avācya)".[9] This provides some evidence that Bhartṛhari was committed to:

B2.   The inherence relation is unnameable

Since the text supporting *B2* makes no reference to properties as the basis of naming, the indirect argument advanced against *B1* would not apply here in the same form.

We are well aware that some new indirect argument might be advanced against *B2*, once more on the basis of a conflict between principles and practice. For Bhartṛhari does use the word *samavāya* throughout to name that which *B2* declares to be unnameable. And so, the new indirect argument might run, had Bhartṛhari been committed to *B2* in full strength,

and not merely to some weaker proposition, he would have been committed to a principle which was inconsistent with his own linguistic practice.

We are now in a position to recognize the ground of these indirect arguments in the very phenomenon of Bhartṛhari's paradox. According to that paradox, any statement of any instance of the unnameability thesis is bound to use some name or expression to identify that which it declares to be unnameable. So any statement of any such principle seems bound to conflict with linguistic practice at some point. The very inevitability of such a conflict to some extent weakens these indirect arguments and justifies a demand for textual evidence of a more direct kind. One cannot rule out the possibility that Bhartṛhari really did hold some instance of the unnameability thesis and thereby really was committed to a linguistic theory which he himself couldn't reconcile with his own linguistic practice. That would after all be poetic justice for the author of our paradox.

Some remarks of Helārāja suggest yet another reading of Bhartṛhari's position on the unnameability thesis. The commentary to the fourth verse of *SS* in effect treats the genitive locution as if it were an *exception* to the rule:[10]

> ... There, apart from the genitive locutions, there is no signifying, that is, elucidating, expression for it ...

and Subramania Iyer's translation of Bhartṛhari's verse incorporates this reading:[11]

> There is no verbal element (besides the genitive suffix) which denotes this relation in its essential property.

by interpolating the parenthetic phrase although it does not appear explicitly in the Sanskrit text. Helārāja's reading would provide one more way of detaching the verse SS 4a from the special unnameability thesis *Bl.*

It is our view, however, that a closer examination of the genitive locutions in question will make it clear why they are not exceptions to *Bl.* There is a matched pair of these genitive locutions. One describes a certain demonstrated word (this) as a *vācaka*, and the other describes a certain demonstrated meaning (that) as a *vācya:*

i. This is the signifier of that
ii. That is the signfied of this

Each has the grammatical structure: demonstrative + copula + singular nounphrase, or in our provisionally simplified terminology: name + copula + name.[12] Four names are involved:

a. this (word)   *c.* the signifier of that

b. that (meaning) *d.* the signified of that

and inspection will show that none of them names the significance (*vācyavācaka*) relation. Two of them (*a* and *c*) name a certain *word*, and the other two (*b* and *d*) name a certain *meaning*, or thing signified. So the constituent names of (i) and (ii) name arguments ("relata") of the relation in question. Two of them (*c* and *d*) are names of that special sort which in traditional grammar were called 'relative terms': they denote some thing by reference to the relation it bears to something else. The relation figures in the process of understanding those relative terms, but not as denoted or named by those terms.

This analysis may help us to sharpen the contrast between what *SS3* says that the genitive locution *can* signify, and what *SS4* says that locutions in general *cannot* signify. What the genitive locution signifies, according to the last clause of *SS3*, is something connected with the significance relation (its 'thatness'), not the relation itself. In lieu of a full account of what Bhartṛhari meant by 'thatness' (*tattvam*), we offer the following interpretation of the way it applies to the case at hand: the 'thatness' of a relation resides in its concrete manifestations, the particular individuals which stand in that relation to one another — in short, its arguments.

To justify this interpretation one need look no further than the genitive locutions offered by Bhartṛhari to signify 'the *tattvam* of the relation'. These locutions in fact name a particular argument, or pair of arguments, of the significance relation: a particular word (*vācaka*) and its meaning (*vācya*). From the standpoint of grammatical analysis this is very different from naming a relation in which those particular individuals stand, even when

the names employed for those individuals are relative terms. From the standpoint of logical analysis, a relation is ontologically distinct from any pair of its arguments, and naming the one is a different matter from naming the other. A given word can stand in various relations to different things: it can be a *vācaka* of one thing, a synonym of another and an antonym of a third. And yet significance, synonymy and antonymy are obviously three distinct relations. In the present context there is another logical difference of considerable importance. In Section IV we will examine some logical reasons why the naming relation cannot be named; but these reason clearly do not carry over to the particular names which are among the arguments of that relation. Nor do they carry over to the particular individuals which bear those names and are the remaining arguments of that relation. They can of course be named, by using their individual names. Logical problems arise only in connection with naming the naming relation itself; and this highlights a rather striking contrast between the logical status of a relation and that of its arguments.

From both a grammatical and a logical standpoint then, we can see how Bhartṛhari might state in one verse that the genitive locution signifies the thatness of the significance relation, and in the very next verse deny that any expression can signify that relation. So we find no reason to regard the genitive locutions as exceptions to the unnameability thesis, and we conclude our examination of the claim that Bhartṛhari held that thesis and asserted *B1* as an instance of it.

III

Enough has been said to indicate the complexity of the exegetical problems surrounding the question of the strength of Bhartṛhari's commitment to the unnameability thesis. His statement of the paradox is perhaps somewhat less problematic, at least to the extent that he presents it unmistakably and without qualifications. Several consecutive passages in our text clearly testify to Bhartṛhari's awareness of the paradoxical character of instances of

the unnameability thesis. Following his statement that inherence 'cannot be understood through words', Bhartṛhari writes:[13]

> That which is signified as unsignifiable, if determined to have been signified through that unsignifiability, would then be signifiable.
>
> (*SS* 20)

> If (the word) 'unsignifiable' is being understood as not signifying anything, then its intended state has not been achieved.
>
> (*SS* 21)

> Of something which is being declared unsignifiable that condition (of being signifiable) cannot really be denied by those words, in that place, in that way, nor in another way, nor in any way.
>
> (*SS* 22)

These verses address themselves to some statement like:

> B3. *The inherence relation is unsignifiable*

and treat of the mode of significance of the predicate of that sentence ('*avācyam*' = 'unsignifiable'). We take them as offering an explanation of the paradoxical character of statements like *B3*.

To obtain a somewhat sharper view of the paradox, attention must also be paid to the subject terms of such statements; *B3* is self-refuting on account of an opposition between its subject and predicate terms. In order for *B3* to be true, its subject term must signify something, and its predicate term must be true of that thing; so its subject term must signify some unsignifiable thing. Because that condition cannot be satisfied, *B3* cannot be true. By a parallel line of reasoning, neither *B1* nor *B2* could be true, and perhaps more generally one might conclude that no instance of the unnameability thesis could be true.

In our view the very fact that Bhartṛhari devoted several verses to such a careful formulation of the paradox, covering all cases ("not … in that way, nor in another way, nor in any way"), shows that the unnameability thesis or some variant of its was at least under serious consideration at that point

in his discussion. But Helārāja's commentary to these verses brings out an exegetical problem on a different plane from those we have so far considered. We will call this the problem of *attribution.*

The exegetical problems discussed in Section II concerned matters of explication of the content, understood in context, of several propositions in the text. But one need not assume that Bhartṛhari intended to *assert* every proposition contained in those verses. Some he may have been simply entertaining in the course of developing his position or arguing for it. Among these latter may be propositions he was voicing on behalf of others, as *objections* or *criticisms* to be answered; and so forth.

This general problem of attribution which is familiar to Bhartṛhari scholars, interacts with the semantic problems of elucidation in a very tangible way, inasmuch as one's interpretation of a particular passage "in context" depends on one's understanding of Bhartṛhari's overall theory of language, which in turn is woven out of various propositions one attributes to Bhartṛhari from the passages in his text. We have illustrated this interaction in the previous section in the course of examining Bhartṛhari's commitment to the unnameability thesis. By and large, however, the emphasis there was on matters of elucidation. In this section, matters of attribution come into prominence. The content of the Verses 20 to 22 seems to us relatively unproblematic in comparison with various matters concerning their role in the discourse. Whether Bhartṛhari should be taken as having asserted those propositions or merely as having voiced them on behalf of others, is a problem too complex to be resolved here.

It was Helārāja's view that the propositions expressed in Verses 20 to 22 of *SS,* making up what we have called Bhartṛhari's paradox, were not asserted by Bhartṛhari but were merely voiced on behalf of certain actual or potential critics. In his commentary to Verse 23, Helārāja describes the preceding three verses as "Naiyāyikā casuistry" (*vākchala*), and he describes the subsequent verses as "an answer" to them.[14] Our own view is that those verses cannot be dismissed as 'casuistry', however the problem of attribution is ultimately decided. There seems to us to be a genuine paradox here, which offers no easy way out. This will be argued in the next two sections.

IV

We have put before ourselves two instances of the unnameability thesis, concerning two fundamental semantic relations: significance (*B1*) and inherence (*B2*). One passage of the text states that thest two relations are distinct ("inherence … extends beyond the signifying function" (*SS 19*)) and another passage states that they are closely interconnected (*SS 13*). Without trying to work out the exact connections between them, we have examined with some care the textual basis for each of these two instances of the unnameability thesis. Now we propose to move the discussion to a more analytical level on which we will begin to open for ourselves the question of the unnameability thesis and its grounds in the structure of language. In this section we will follow what we take to be Bhartṛhari's insights, but deal with them using analytical resources beyond those that were available to Bhartṛhari.

Examining the unnameability thesis as a contemporary issue in the philosophy of language, we believe that thesis can be supported by some arguments of rather considerable strength and generality. We will present these arguments informally at first, making use of commonsense notions. Then they will be related to modern ideas from the theory of sets, with the aim of making the arguments more rigorous. No historical claims should be read into the discussion of this section. Its purpose is to examine Bhartṛhari's paradox as a living problem, and in the process to make an effort to crystallize from it the sharpest possible formulation.

The proposition that the significance relation is unnameable can most easily and directly be derived from a still more general proposition:

R1.   The significance relation is unsignifiable

What this means in the context of the present paper is that there is no expression, of any grammatical category, which bears the significance relation to the significance relation. Equivalently: the *vācya-vācaka* relation has no *vācaka*, and is not itself a *vācya*. Once unsignifiability of the relation has been established, its unnameability will follow as a special case.

We will now sketch a *proof* for *R1* from the still more general proposition that no relation can be one of its own relata. If this holds for all relations, it holds for the significance relation as a special case (*R1*); and from that special case, *B1* would follow as a still more special case.

To build up some intuition concerning the problem, consider the naming relation, which obtains between names and their bearers: between the name 'Krishna' and the playful blue god, between the name 'Gauriśankar' and the highest mountain on earth, and so forth. It takes its place as one relation among others: the parent-child relation among humans, the dominance relation within a herd of elephants, the natural ordering relation of the positive integers. In general there is no semantic problem about naming various relations: we fix the relation in our mind and then discover or invent some name for it. However a specific problem does arise in the case of the naming relation itself. The first step presents no difficulty; we can fix the relation as an object of thought. Nor is there any obstacle to selecting a name; on the contrary, various languages incorporate several syntactic devices capable of forming names of relations. In the first place one can specify the characteristic domain and counterdomain of the relation, as in forming the name 'the parent-child relation'. Secondly one can nominalize one of the verb-forms which express the relation, as in forming the name 'the dominance relation' from the transitive verb 'dominates'. Thirdly one can find a uniquely descriptive phrase, as in forming the name 'the natural ordering relation among the positive integers' for the relation ≥.

Having fixed the relation as an object of thought, and having selected one or another suitable expression to name it, the only thing left would be tying the two together within the naming relation. And the last step is the hardest, for in the special case at hand, one is called upon to make a relation one of its own relata; and this almost invariably binds one in a conceptual knot. The parent-child relation is neither a parent nor a child; no elephant dominates the dominance relation; no number is greater than or less than the natural ordering relation among the positive integers. Nor does this seem to be an historical accident of classification or usage. How could it be otherwise? How could *any* relation be one of its own relata?

To sharpen this question a bit, let us consider a parallel question that has received much attention in the theory of sets: could any set be a member of itself? As Bertrand Russell observed at the beginning of the century, sets are not ordinarily members of themselves; but there might be thought to be some extraordinary sets which are members of themselves.[15] Let us consider this possibility. The set of all mangoes is certainly not itself a mango; but then, the set of all things which are not mangoes isn't a mango either, and so it does or 'should' belong to itself. This line of thought leads directly into what is known as Russell's antimony concerning the set of all sets which are not members of themselves. In order to resolve this and allied antinomies, standard axiomatic set-theories deny the existence of any sets which are members of themselves. In accordance with those theories, there is no set of all things which are not mangoes; for it there were, *per impossibile* it would have to be a member of itself.

The problem of sets being members of themselves is only part of a larger problem, and the set theories in question have been framed in such a way as to preclude the existence of any set which is a member of itself once removed (i.e. a member of a member of itself), or a member of itself twice removed, etc. In general, the set-membership relation is required to be 'acyclic', by a principle called the *axiom of regularity.*[16]

This doctrine has consequences for our problem as soon as we take into account that every relation has some set of its 'extension': some set of ordered pairs. Let N be the set of all ordered pairs $\langle n, b \rangle$ consisting of a name, n, and the bearer of that name, b. For example, the pair $\langle$ the name 'Krishna' the playful blue god $\rangle$ belongs to N, as does the pair $\langle$ the name 'Gauriśankar', the largest mountain on earth $\rangle$, and so forth. The set N is the 'extension' of the proper-name relation. Now the question of whether or not the naming relaion can be named, is connected with the question of whether or not the set N could contain some pair $\langle n, N \rangle$. Such an eventuality would not require N to be strictly a member of itself, but more precisely would require N to be "part of" a member of itself. According to the usual set-theoretical construal of relations, the ordered pair $\langle n, N \rangle$ would itself be treated as a set of sets.[17] Consequently, the naming relation could be named

only if *N* could be a member twice removed of itself, and this is incompatible with the regularity axiom.[18]

By this reasoning a general theorem about relations can be derived from the standard principles of the mathematical theory of sets:

Regularity Theorem: No relation can be one of its own relata

The label attached to this theorem underscores its reference to some "regular" theory of sets, that is some theory incorporating the axiom of regularity or an equivalent principle.[19]

Without committing ourselves to any special assumptions regarding the nature of language or the naming process, but only to some more fundamental assumptions concerning the nature of sets, a substantial case can now be built up to support the unnameability thesis. In the first place, *R1* is an immediate corollary to the regularity theorem, quite independently of any questions about the exact interpretation or English translation of '*vācya-vācaka*', so long as it is treated as a relation having some regular set for its extension. In the second place, *B1* is a consequence of *R1* assuming only that whatever can be named can be signified.

V

Having approached the unnameability thesis now from more general considerations, it is possible to reinforce our paradox by establishing a whole family of variations on *B1*. As an introduction to those variations, let us reflect briefly on one natural response to the paradox. Up to this point we have used the term "name" in an unusually extended sense, to include proper names, definite descriptions, and even demonstratives. In accordance with this broad usage, one could hardly deny that *B1* contains a name (the phrase 'the significance relation') for that very thing which *B1* declares to be unnameable. Now someone might suggest that what drives one into the paradox is just this policy of using the term "name" in an extended sense.

Consider the alternative policy of restricting the term 'name' to proper nouns like 'Krishna' or 'Gauriśankar'. One way of implementing this policy might be to use the term "denote" for the more extended concept, so that definite descriptions and demonstratives would be said to denote but not to name that which they signify. Now, taking a closer look at *B1*, we see that under the new policy it would no longer name that which it declares to be unnameable; rather, it would quite legitimately denote that which it declares to be unnameable, and the paradox would be resolved. This line of reasoning may seem to turn Bhartṛhari's paradox as so far discussed into 'casuistry' or some sort of verbal trap constructed out of the extended usage of 'name'. And indeed, common usage may well favour some more restricted usage and thereby offer what seems to be a natural resolution of the problem.

We shall now suggest that no such resolution can be satisfactory, for its apparent success must depend on a very limited view of the whole matter. Any sharply drawn boundary between names and denoting phrases, transfers the paradox from *B1* to:

R2. The significance relation is undenotable,

which on the one hand could be derived from the regularity theorem, and on the other hand would — according to the new policy — denote that which it declares to be undenotable. Nor will the drawing of any number of additional boundaries within the field of what we originally called 'names', ever be able to fully resolve the problem.

Furthermore, in the presence of certain minimal assumptions regarding the connections between naming, denoting and signifying, additional consequences can be derived. The regularity theorem can be generalized in several ways. One simple generalization is:

Indirect Regularity Theorem: No relation can be one of the relata for any one of its own subrelations.

The sense here is that if *Q* is included in *R* as a subrelation, then *R* cannot be a relatum for *Q*. Therefore, under the assumption that naming is a case of denoting which in turn is a case of signifying:

R3. *The significance relation is unnameable.*

R4. *The denoting relation is unnameable.*

In the presence of an additional assumption connecting significance with inherence, *B2* and *B3* can also be derived from the indirect regularity theorem.

The assumption is that signifying is a subrelation of inhering. This assumption is suggested by verse 13 of our text:[20]

> On the basis of the relation of inherence (a word's) own substratum and own universal are understood. On the basis of inherence in a single substratum, on the other hand, the quality which belongs in its own substratum alone is understood.
>
> *(SS 13)*

and is consonant with other passages such as "inherence … extends beyond the signifying function". *(SS 19).* Conditional upon this assumption and the previous one that naming and denoting are subrelations of signifying, we could derive:

R5. *The inherence relation is unnameable.*

R6. *The inherence relation is undenotable.*

R7. *The inherence relation is unsignifiable.*

These seven special unnameability, undenotability, and unsignifiability results, are just a few examples to illustrate the stability of Bhartṛhari's paradox when it is understood more broadly as a theme with many variations.

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NOTES

1 See K. Potter, 1977, p. 48. Further discussion is to be found in K. Potter, 1968, which also describes a contradiction having some affinity with Bhartṛhari's paradox, but arising within a rather different philosophical context.

2

jñānaṃ prayoktur bāhyo'rthaḥ svarūpam ca pratīyate /

śabdair uccāritais teṣām saṃbandhaḥ samavasthitaḥ //

Except for the word jñānam which is translated as idea in order to accommodate the complexity read into it by Helārāja, the translation is Subramania Iyer's: Iyer, 1971, p. 76. Unless specifically stated the translations are ours.

3 See, for instance Helārāja's introductory remarks to VP. III. 1.1.

4 See Helārāja's remarks on VP. III. 1.2.

5

asyāyam vācako vācya iti ṣaṣṭhyā pratīyate /

yogaḥ śabdārthayos tattvam ity ato vyapadiśyate //

6

nābhidhānam svadharmeṇa saṃbandhasyāsti vācakam /

7 In the *jātisamuddeśa* the property on the basis of which names are given to objects is identified with universals (*jāti*): VP. III.1. 6–8; in the *dravyasamuddeśa* with a limiting feature (*upādhi*): Helārāja on VP. III.2.2, p. 108. 1–9; in the *guṇasamuddeśa* with a quality (*guṇa*): Helārāja on VP. III.5.1, p. 192–203. The lack of a uniform vocabulary is not surprising in the context of Bhartṛhari's commitment to a metaphysically neutral semantic theory. (*sarvapārṣadasāmānyam śāstram*). There is evidence in support of our view that for Bhartṛhari proper names do not name their subjects directly. For instance Helārāja on VP. III. 1.2, p. 9.6–7 says: "It will be established that even (proper) names like Ḍittha express universals

(*saṃjñāśabdānām api Ḍitthādiśabdānāṃ jātivācitvaṃ samarthayiṣyate*)",

a remark which is elaborated on by him in Vp. III.5.1, p. 193. 17–20; see also VP. II. 366 and the discussion of the proper name Kharaṇasa (long-nosed) in VP. II. 364–365. Our evidence for the demonstrative is indirect and is drawn from Bhartṛhari's analysis of negative sentences. The sentence 'This is not a Brahmin' is meaningful if the reference is to someone who bears a resemblance to a Brahmin, to someone who for instance has tawny hair (*pingalakeśin):* see VP. III.14.263, 281, 301. This would seem to suggest that the demonstrative refers to its object through a property which is determined by the adjoining predicate expression. The property would therefore not be fixed (*dhruvam*) but would be context dependent. The demonstrative would signify its object in the same way in which a crow signifies the house on which it sits: VP. III. 2.2.

8

prāptiṃ tu samavāyākhyām vācyadharmātivartinīm /

prayoktā pratipattā vā na śabdair anugacchati//

9 *iti avācya eva bhāvato'yam*: Helārāja: on VP. III.3.19. p. 137. 1–2.

10 *tatra ... vācakaṃ pratyāyakam, abhidhānam ṣaṣṭhivyatiriktaṃ nāsti*: Helārāja on VP. III.3.4. p. 128–10–11.

11 Iyer, 1971. p. 80.

12 Since Sanskrit does not have a copula the sanskrit counterparts for *a–d* have the grammatical structure: demonstrative + implicit verb + noun phase. The four names involved would be:

a. *ayam*
b. *ayam*
c. *asya vācakaḥ*
d. *asya vācyaḥ*

13

avācyam iti yad vācyaṃ tad avācyatayā yadā /

vācyam iti avasīyeta vācyam eva tadā bhavet //

athāpy avācyam ity evaṃ na tad vācyaṃ pratīyate /

vivakṣitāsya yāvasthā saiva nādhyavasīyate//

tathānyathā sarvathā ca yasyāvācyatvam ucyate /

tatrāpi naiva sāvasthā taiḥ śabdaiḥ pratiṣidhyate//

14 Helārāja on VP. III.3.3, p. 138. 12–13.

15 See B. Russell, 1908.

16 See P. Suppes, 1960.

17 The order pair ⟨*n*, *N*⟩ would be defined as the set {{*n*}, {*n*, *N*}}whose members are the set {*n*} whose only member is *n*, and the set {*n*, *N*} whose members are *n* and *N*; so it would follow that *N* would be a member of a member of ⟨*n*, *N*⟩. See Suppes 1960 (Chapter 2 Definition 10, and also Chapter 3).

18 What is in question is the proposition that *N* might be a member of some'set {*n*, *N*} which is a member of ⟨*n*, *N*⟩ which is a member of *N*.

19 It should be remarked that there do exist some rather special axiomatic set theories in which the axiom of regularity does not hold; one well-known example is W. V. Quine's system *NF* ("New Foundations"), described in Quine 1963. These systems show the possibility of operating consistently with nonregular sets; but it is not easy to see how they could provide any intuitively satisfactory resolution for Bhartṛhari's paradox.

20

samavāyāt sva ādhāraḥ svā ca jātiḥ pratīyate/

ekārthasamavāyāt tu guṇaḥ svādhāra eva ye //

The substratum or support of a word is that in which universals of the word inhere, the individual token (*śabdavyakti*). See for example VP. III. 1.8: *śabdārthasaṃbandhāc śabde jāti vyavastihitā.* See also Helārāja's remarks on SS 13.

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Krishnachandra Bhattacharya

Acknowledgments

Series Preface

No anthologist succeeds in including everyone's favorites, so a few words about the principles of selection seem appropriate. Firstly, as with other volumes in this Garland series, priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. Readers in search of further bibliographical assistance should consult what is now the standard source: Karl H. Potter, *Bibliography of Indian Philosophies*, 3rd rev. ed. (Delhi: Motilal Banarsidass, 1995), and the on-line updates to it available at the "Indian Philosophy Bibliography" (http://faculty.washington.edu/kpotter/). Secondly, the emphasis throughout is on *philosophical* studies of Indian philosophy. Consequently, much excellent historical and philological work has been omitted. Thirdly, the desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology. This restriction has prevented the inclusion of more work by Indian authors.

Finally, I would like to acknowledge gratefully all the good advice and generous assistance I have received from Chakravarthi Ram-Prasad, Mark Siderits, and (most especially) Stephen Phillips. The blame for any shortcomings that may remain rests, of course, solely upon my own shoulders.

Series Introduction

The five volumes of this series collect together some of the most significant modern contributions to the study of Indian philosophy. Indian philosophy is one of the great philosophical traditions of the world. Unfortunately, however, its philosophical riches are not always as readily accessible to Western philosophers as might be desired. The selections in these volumes help to redress this situation by giving readers easy access to some of the best philosophical work in the area, including material that is often difficult to locate.

Collectively the selections in these volumes explore many of the important commonalities and differences between the Indian and Western philosophical traditions. These similarities and differences are philosophically pregnant. There is enough in common between Indian and Western philosophy to suggest that the philosophers in both traditions are often engaged with similar problems and hence should be able to communicate with each other. However, there are also sufficient differences between the traditions to suggest that they may have some novel perspectives to offer each other.

In choosing the selections for this series priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. The emphasis throughout is on philosophical studies of Indian philosophy. The desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English,

but also that most of them use a minimal amount of unglossed Sanskrit terminology.

Volume 1: Epistemology is concerned with the nature and scope of Indian pramāṇa theory, i.e. that part of Indian philosophy concerned with the nature and sources of knowledge. Indian philosophers developed a causal theory of knowledge and acknowledged the existence of a number of valid ways of knowing, including perception, inference and testimony. The Indian pramāṇa theorists thus discussed many issues that have also occupied Western epistemologists, often offering importantly different perspectives on these matters. They also sometimes addressed various interesting questions about knowledge that are unfamiliar to Western epistemologists.

The selections in this volume discuss Indian treatments of epistemological topics like the means of knowledge, realism and anti-realism, truth, knowledge of knowledge, illusion and perceptual error, knowability, testimony, scepticism and doubt.

Volume 2: Logic and Philosophy of Language is concerned with those parts of Indian pramāṇa theory that Western philosophers would count as logic and philosophy of language. Indian philosophers and linguists were much concerned with philosophical issues to do with language, especially with theories of meaning, while the Indian logicians developed both a formalised canonical inference schema and a theory of fallacies. The logic of the standard Indian inferential model is deductive, but the premises are arrived at inductively. The later Navya-Nyāya logicians went on to develop too a powerful technical language, an intentional logic of cognitions, which became the language of all serious discourse in India.

The selections in this volume discuss Indian treatments of topics in logic and the philosophy of language like the nature of

inference, negation, necessity, counterfactual reasoning, many-valued logics, theory of meaning, reference and existence, compositionality and contextualism, the sense-reference distinction, and the nature of the signification relation.

Volume 3: Metaphysics is concerned with the complement to pramāṇa theory, i.e. prameya theory. Whereas the pramāṇnas are the means of knowledge, the prameyas are the knowables, cognisable entities that constitute the world. With respect to the number and kinds of such entities, there was a very wide variety of opinion among classical Indian philosophers — including variants of monism, dualism and pluralism about both entities and kinds. Many metaphysical topics were debated, but two of the most important were causation and the nature of the self. The competing theories offered about these two issues also raised other questions about the metaphysics of wholes and parts, substances and properties, and universals and particulars.

The selections in this volume discuss Indian treatments of topics in metaphysics like ontology, constructionalism, universals, negative facts, mereology, causation, relations, freedom and determinism, and theories of the self.

Volume 4: Philosophy of Religion is concerned with something that can be described as "Indian philosophy of religion," i.e. "philosophy of Indian religions." Contrary to popular Western belief, classical Indian philosophy was not indistinguishable from Indian religion — as even a cursory glance at the first three volumes of this series will demonstrate. Religious concerns, though, did motivate the work of many Indian philosophers. However, important differences between the major Western religions and the major Indian religions (Hinduism, Buddhism, Jainism) mean that the shape

of Indian philosophy of religion is often significantly different from that of Western philosophy of religion.

The selections in this volume discuss Indian treatments of topics in the philosophy of religion like the problem of evil, God, theological monism and dualism, atheism, the concept of a perfect being, reason and revelation, rebirth and karma, religious language, religion and politics, ritual and mantra, and the religious determinants of metaphysics.

Volume 5: Theory of Value is concerned with Indian discussions in the areas of ethics, politics and aesthetics. The Indian philosophers had a good deal to say about the theory of value as they vigorously discussed topics like the ends of life and the relation of virtuous action to those ends. A traditional Hindu classification recognises four classes of values: dharma (morality, virtue), artha (wealth, power), kāma (pleasure), and mokṣa (liberation). Mokṣa is usually held to be the highest value and is extensively discussed in the paradigm Indian philosophical texts. Indian political and legal theory is concerned with the values of artha and dharma. Aesthetic pleasure is one of the subject matters of a developed body of writing on aesthetic theory. Rasa ("flavor"), the special feeling or enjoyment that pervades an artwork or is aroused in its contemplator, is commonly seen as detached from the aims and concerns of ordinary life, with some even suggesting that it provides a foretaste of the bliss of mokṣa.

The selections in this volume discuss Indian treatments of topics in the theory of value like the proper ends of life, the relation of dharma and mokṣa, liberation and pleasure, the sources of our knowledge of right and wrong, the ethics of non-violence, the status of the supra-moral, egoism and altruism, the theory of rasa, aesthetic experience and catharsis.

Volume Introduction

The complement to *pramāṇa* theory is *prameya* theory. Whereas the *pramāṇas* are the means of knowledge, the *prameyas* are the knowables, cognizable entities which constitute the world. With respect to the number and kinds of such entities, there was a very wide variety of opinion among classical Indian philosophers. Moreover, since according to most Indian systems knowledge of reality is at least a necessary condition for liberation, these metaphysical disputes were taken to be of practical as well as theoretical import.

Ontology is an attempt to answer the question "What is there?". But to answer that question we need to distinguish between the two separate, though intertwined, questions: "How many entities are there?" and "How many *kinds* of entities are there?". In both cases the metaphysically interesting answers are: "One", "Two", and "Many" (i.e. monism, dualism, and pluralism). Note, however, that a position about the number of kinds of entities that exist does not in itself entail any particular position about the number of entities that exist. Nor does a dualism or pluralism about the number of entities entail any particular position about the number of kinds of entities.

There was, correspondingly, quite a variety of Indian responses to the question "What is there?", including variants of monism, dualism and pluralism about both entities and kinds. Advaita, for instance, holds that there is numerically only one entity (*ātman/Brahman*) and that all plurality is illusory. Viśiṣṭādvaita qualifies this monism and maintains that while there exists only one ontologically independent substance (God), there also exist other

dependent entities (souls and material objects). Sautrāntika Buddhism, in contrast, holds that there are numerically many entities, but only one *kind* of thing: momentary particulars (*svalakṣaṇas*). Yogācāra Buddhism and Cārvāka also agree that there is only one kind of thing, but disagree about whether it is mental or material. Sāṃkhya-Yoga, on the other hand, asserts that reality consists of just two kinds of things but a plurality of entities: many selves (*puruṣas*) and a single evolving primal matter (*prakṛti*). Finally, Nyāya-Vaiśeṣika is pluralist about both entities and kinds: there are many things in the world, though there are only seven basic ontological categories (*padārtha*).

Underpinning these disagreements about the nature and number of reals are also important differences of opinion about the criterion of reality. According to the Buddhists, for instance, to be real is to be causally efficacious. For Advaita, however, the real is that which is never sublated (*abādha*) by any manner or means. Thus only *Brahman*, free from all limitations of space, time and individuality, is truly real.

In their systematic development of these differing ontologies Indian philosophers mostly utilized a common methodology. Since even the most revisionary Indian metaphysicians usually took seriously the defeasible deliverances of common sense, they often conceived of their task as the construction of a philosophical system which permitted all objects recognized by common sense to be reduced to logical constructions out of the favored primitive entities of the system. This general methodological stance is equally true, for example, of the Buddhist logicians (who favored an event ontology of momentary particulars), of Nyāya-Vaiśeṣika (who favored a rich ontology of univerals, qualities and substances), and of late Advaita (who favored an entity monism). Ontological disputes were less about the reductionist project

(Madhyamaka Buddhism is a notable exception), than about the details of the attempted reductions: e.g. do we really need to posit wholes as well as parts, substances as well as properties, universals as well as particulars, selves as well as mental states, and so on?

Many metaphysical topics were debated in classical India, but two of the most important were causation and the nature of the self. The Indian philosophers extensively discussed a number of issues relating to causation, including the nature of the causal relation, the definitions of cause and effect, and classifications of kinds of causes (Potter 1963, Smart 1964, Bhartiya 1976). Typically they stressed the importance of the material cause, rather than (as in Western philosophy) the efficient cause.

The Indian theories of causation are traditionally classified by reference to the question of whether the effect is a mode of the cause. According to this taxonomy there are two principal theories of causation. One is the identity theory (*satkāryavāda*) which holds that the effect is identical with the cause, a manifestation of what is potential in the cause. This is the Sāṃkhya-Yoga view, though that school's particular version of it is sometimes called transformation theory (*pariṇ āmavāda*). Advaita Vedånta holds an appearance theory (*vivartavāda*) which is often considered a variant of the identity theory. According to the appearance theory effects are mere appearances of the underlying reality, *Brahman*. Since only *Brahman* truly exists, this theory is also sometimes called *satkāraṇavāda* (the theory that the cause is real but the effect is not).

The other principal theory of causation is the non-identity theory (*asatkāryavāda*) which denies that the effect pre-exists in its cause and claims instead that the effect is an altogether new entity. Both Nyāya-Vaiśeṣika and the Buddhists are usually classified as non-identity theorists, but they differ on many important details. One of

these is whether the cause continues to exist after the appearance of the effect: Nyāya-Vaiśeṣika claims it does, the Buddhists mostly claim it does not.

Indian theories of the self also traditionally divide into two broad classes: those who explain diachronic personal identity by reference to an enduring substantial self (*ātmavādins*) and those who deny the existence of such a self, taking instead a "modal" view of reality (*anātmavādins*). The orthodox Hindu philosophers and the Jainas all take the former view. Although they disagree on the nature and number of such selves, they are all non-reductionists of some sort about personal identity. Most Indian Buddhist philosophers (including the Theravādins, the Vaibhāṣikas, the Sautrāntikas, the Yogācārins and the Svātantrika-Mādhyamikas) take the latter view and hence are all plausibly classifiable as reductionists about personal identity.

The selections in this volume open with an article by Matilal which helpfully sets out something of the basic ontological framework of Indian metaphysics. Matilal concentrates on the very different ontologies of Nyāya-Vaiśeṣika, Buddhism and Jainism. He contrasts the anti-substantialism of the Buddhists with the substantialism of Nyāya-Vaiśeṣika, and presents the Jaina conception of reality as an attempt to bring together the opposing viewpoints of the Buddhists (with their emphasis on becoming) and Nyāya-Vaiśeṣika (with their emphasis on being). It is worth noting that choice between the rival metaphysical systems was not made entirely on the basis of the *pramāṇas*. Rather the ontologies of the systems were defended holistically, though they were open to rational criticism (see Mohanty 1992).

Potter's paper on the *Vedāntaparibhāṣ ā* reveals in a most illuminating way how the conception of philosophy as systematic

reconstruction is shared not only by the realist logicians of the Nyāya-Vaiśeṣika school (Potter 1977), but also by the supposedly "mystical" Advaitins. The eighty-four interconnected definitions in Dharmarāja's text are all generated from a small base of primitive notions. The terms so defined are then used to constitute a rigorous philosophical system, in a fashion somewhat analogous to the constructionalist projects of Carnap and Goodman.

Indian approaches to the problem of universals are addressed in the succeeding articles by Chakrabarti and Siderits. Chakrabarti explains Nyāya-Vaiśeṣika's realist theory of univerals (see also Shastri 1964, Dravid 1972, Potter 1977, Mukhopadhyay 1984, Phillips 1995). According to the Naiyāyikas, universals are both simple and sensible, but there are also various restrictive conditions that prevent the admission of a universal corresponding to every common name. Nyāya metaphysicians accordingly admit universals to their basic ontology, but count as particulars both the inherence relations which bind properties to property-possessors, and various non-repeatable qualities (*guṇas*) such as color, magnitude, weight, shape, etc.

The Nyāya position on universals is thus objectionable both to some fellow realists, who think that qualities and relations should be counted as universals, and to nominalists who think that universals are entirely dispensable. Siderits' paper is concerned with both types of objection. He argues that (*pace* Dravid 1972) there is no incoherence in the notion of the qualities of a particular substance being themselves particulars. He also offers a rational reconstruction of the *apoha* theory of the Buddhist nominalists, who deny that the use of a general term like "cow" ever requires us to posit the existence of a corresponding universal cowness. To say of a particular that it is a cow is just to say that it does not belong to the class of things that are non-cows (see also Shaw 1978).

Nyāya-Vaiśeṣika metaphysicians admit to their categories of the real just six presences: substances, qualities, actions, universals, particularities, and inherence (Potter 1977, Halbfass 1992, Phillips 1995). But they also admit a seventh, and final category: absences (*abhāva*), or negative facts (Matilal 1968, Chakrabarti 1997). Gillon's article draws freely upon both Indian and Western philosophy to present a challenging modern defense of the Nyāya view that absences do indeed exist and that they are known not only by inference, but also by perception.

Any metaphysical reductionism requires a mereology, or theory of the part-whole relation. In India the two most developed mereological theories were those of Nyāya-Vaiśeṣika and the Buddhists. According to Nyāya-Vaiśeṣika, wholes are never reducible to their parts, though they inhere in them (Bhaduri 1975, Potter 1977). According to the Buddhists, wholes are unreal, mere conceptual constructions, and only parts are real. Kapstein's article reconstructs the Buddhist idealist Vasubandhu's arguments against the atomic theory of the Buddhist realists, arguments which utilize certain implicit mereological principles. Vasubandhu tries to prove idealism by demonstrating that the notion of composite material wholes entails that there are simple, atomic substances, and that atomism is false.

One of the most important relations in any plausible metaphysics is causation. Martial's article briefly explains the Nyāya-Vaiśeṣika theory of causation, contrasting it with the Ābhidharmika and Sāṃkhya theories. Essential to Nyāya causal theory (and to their metaphysics more generally) is the notion of inherence (*samavāya*), the relation that also connects wholes and parts, and substances and their qualities. The most popular Indian objection to the Nyāya theory of inherence is an infinite regress argument. If two entities *A* and *B* are to be related by the inherence relation *R* which is itself a

distinct entity, then it is also necessary that *A* and *R* be related by a different inherence relation *R**, itself a distinct entity. But then, of course, *A* and *R** have to be related by a yet different inherence relation *R***; and so on *ad infinitum*.

The Naiyāyikas reply that there is no regress because there is no other relation to connect inherence to its relatum. Clearly they cannot mean that the relatum and its relation are identical, for then, by the transitivity of identity, *A* would not only be identical with *R* but also with B! Instead Navya-Nyāya appeals to the notion of a self-linking connector (*svarūpasambandha*). The idea here is that while *A* requires the inherence relation *R* to connect it to *B, A* can be its own connector to *R*. Potter's paper, although not explicitly about Indian philosophy, is in effect an independent defense of the intelligibility of the notion of such a "concrete connector".

The most Indian famous critique of causality is that of Nāgārjuna, discussed at some length in the piece by Garfield (see also Garfield 1995). In a virtuoso dialectical display Nāgārjuna refutes all the standard types of Indian causal theory: (i) self-causation; (ii) external causation; (iii) both (i.e. self and external causation); and (iv) non-causation. But Nagarjuna does not deny causation *per se*. Rather causality is the Buddha's teaching of dependent origination: everything is interdependent and this is equivalent to the truth of emptiness (*śūnyatā*), that nothing has any self-existence or essence. Liberation is the realization of this emptiness.

Contrary to popular Western belief, the general Indian acceptance of universal causality and karma does not entail fatalism, as Potter explains in the succeeding article. However, there is a widespead Indian commitment to a fairly strong form of determinism. In the course of defending the compatibility of this

determinism with a kind of freedom of agency, Potter also develops an original argument for the existence of beginningless agents.

The remainder of the selections are concerned with Indian theories of the self. Central to early Buddhism is the doctrine of "no-self" (*anatta*), which denies the existence of an enduring substantial self (Collins 1982). The Ābhidharmikas developed this doctrine into a detailed reductionist account of persons that has certain parallels with the theory of personal identity recently developed by Derek Parfit (Parfit 1984). The articles by Duerlinger, Bastow and Siderits explore these parallels in some detail, and reach somewhat different conclusions. Duerlinger (invoking Candrakīrti) argues that reductionism is not the only Buddhist view, while Bastow and Siderits suggest that Buddhist reductionism has resources which can usefully fill lacunae in Parfit's theory.

In contrast to the Buddhists, the Hindu philosophers were all committed to the existence of an enduring substantial self (*ātman*), though there was lively disgreement among them as to the nature and number of such selves. One argument for the *ātman* (to be found in both Mīmāṃsā and Nyāya) is that personal memories of the form "I did this" presuppose the existence of a continuing substantial self. Taber explains the Mīmāṃsā version of the argument, and Chakrabarti defends a modern version of the Nyāya argument (see also Chakrabarti 1999).

The piece by Shukla is interesting for several reasons, including its contrast with Chakrabarti's. Translated from modern Sanskrit, it is a striking example of the vitality of the pandit tradition in India (see also Krishna 1991, Sankaranarayanan 1993). Working entirely within the context of traditional Sanskritic Nyāya scholarship, Shukla argues that considerations of ontological economy (*lāghava*) show that Nyāya should refuse to admit *ātman* as a separate

metaphysical category. Everything that the self was postulated to do in the system can be done by the (corporeal) *manas* or "mind" alone. Hence on this matter the Nyāya tradition requires rational revision.

Sāṃkhya-Yoga is the oldest school of Indian philosophy (Larson 1979, Larson and Bhattacharya 1987). It is committed to a sharp dualism between *puruṣa* (self) and *prakṛti* (matter, nature). The articles by Larson and Schweizer try to capture more precisely what this dualism amounts to, given that it is not equivalent to a Western mind-body dualism. Larson sees it as a kind of dualistic reductionism, Schweizer as a mind-consciousness dualism.

Advaita monism represents the most radical version of the *ātman* theory, according to which there is but one self which is identical with the Absolute *Brahman* (Deutsch 1969, Potter 1981). Deutsch's paper presents a "phenomenological" reconstruction of the Advaitin analysis of the self into a hierarchy of four levels of consciousness. Bhattacharyya's difficult but original piece presents a modern neo-Vedāntin perspective, influenced by Kant as well as the Sanskritic tradition (see also Bhattacharyya 1976).

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B. K. MATILAL

ONTOLOGICAL PROBLEMS IN NYĀYA, BUDDHISM AND JAINISM A COMPARATIVE ANALYSIS*

The term 'Ontology' came to be used to indicate the most general part of metaphysics in seventeenth-century Europe, although for the origin of ontology as a general theory of real entities, or as a theory of being *as* being, one has to go back to Aristotle as well as to the pre-Socratic philosophers of ancient Greece. Aristotle did not use the term 'ontology'just as he did not use the term 'logic' either. But the history of logic as well as ontology in the Western tradition seems to start with him. Aristotle talks about a 'first philosophy', which, he says, is about being as being, and this is taken in later Western tradition to be the nearest analogue of 'ontology'. For our present discussion, I shall assume ontology to mean a general theory of 'what there is' and try to apply it to the Indian tradition. There are many other problems usually discussed in connection with ontology in the West, such as the doctrine of distinction of essence and existence, the theory of transcendental properties of all entities, but these questions will not directly concern us in this paper.

The Nyāya-Vaiśeṣika ontological problem was connected with the Vaiśeṣika doctrine of categories (*padārtha*), and the category of substance was the focal point of this doctrine. The system of Vaiśeṣika categories is generally regarded as a classification of real

and fundamental entities. It is also possible to view it as an analysis of the 'concrete' objects of our experience into their various parts in order to form a theoretical basis for our philosophical discussion. The Nyāya-Vaiśeṣika philosophers, however, believe that if we can analyse and classify the concrete object of our experience in this manner into substance, quality and action, we would achieve a satisfactory explanation of 'what there is', i.e., an explanation of what is meant when we say, 'that object exists'.

The Buddhists, on the other hand, think that the so-called concrete object of our experience is at best a synthetic object and hence is analysable into a number of fundamental properties or elements called *dharmas*. The Buddhist conception of a *dharma* is that it is by nature a non-substance (cf. *anātman*).[1] The question, 'What is there?' can be answered, according to the Buddhists, if we can prepare a satisfactory list of such non-substances or *dharmas*, which we can refer to while we are accounting for and analysing the objects of our experience. The *dharmas* are also in perpetual flux, 'in a beginningless state of commotion', and *nirvāṇa* is posited as the ultimate cessation of this 'commotion' for a person. Nirvāṇa is also said to be the ultimate reality, the ultimate nature of things, to be contrasted with the phenomenal existence of *dharmas*, but, as I have already indicated, this problem will not be our concern in this context.

Our prephilosophical common-sense tells that there are around us things which somehow undergo change. Our philosophical worries start along with our recognition of the phenomenon of change vis-a-vis our feeling for continuity and sameness underlying change. In India this problem was reflected in the old dispute over *Sat*-cosmogony versus *Asat*-cosmogony (found in the Ṛgveda as well as in the Upanishads). The philosophic resolution of this dispute is to be found in the two rival theories about causation and creation in

ancient India: 1. *sat-kārya-vāda* 'the theory of pre-existence of the effect in the cause' and 2. *asat-kārya-vāda* 'the theory of new creation of the effect which was non-existent before'. For those who prefer a comparative approach, it is significant to note that the so-called paradox of change and permanence, of being and becoming, was as much a live issue for the early Indian philosophers as it was for the Greeks, i.e., the pre-Socratics. Those who were inclined toward permanence not only posited the notion of an enduring substance but also argued that change was only superficial transformation of the existent (the substantial) from one state to another. The Sāṃkhya and the early Vedānta belonged to this group insofar as they gave prominence to *Sat* 'the existent'. The Vaiśeṣikas belonged to the group of *Asat* cosmologist inasmuch as they admitted change to be real and the function of the cause to be the creation of new things, effects. But they also posited the doctrine of substance, in fact, plurality of substance, and their substantial elements were said to be persistent through changing states. The Buddhist *Asat* cosmologists were very radical, for they argued that change alone was real and the notion of continuity or persistence was illusory, and the notion of soul-substance was a myth. The Jaina theory, as we will see later on, was a compromise between the Buddhists and the Nyāya-Vaiśeṣika.

The ontological positions of Nyāya-Vaiśeṣika, Buddhists and Jainas were necessarily influenced by their respective stands on the problem of change and continuity. The Buddhists, for example, were pre-eminently anti-substantialists in the Indian tradition. This anti-substantialism culminates in their 'flux' doctrine, according to which the components of every object, all *dharmas*, change completely from moment to moment. A comparativist might be reminded here of the anti-substantialism of Heraclitus of Ephesus, who held, contrary to Parmenides' denial of change, that change was

incessantly occurring. But it is not certain that the Heraclitean acceptance of change as reality amounted to the 'flux' doctrine, as it was understood by both Plato[2] and Aristotle.[3] The 'flux' doctrine may be due to an interpretation of the Heraclitean position by the philosopher Cratylus. This would at least give credence to the anecdote related by Aristotle about the 'river' example of Heraclitus. Aristotle says that Cratylus "rebuked Heraclitus for saying that you could not step twice into the same river; he (Cratylus) thought you could not even do so once."[4] Thus, probably Cratylus was much closer to the Buddhists in this regard.

The Nyāya-Vaiśeṣikas, on the other hand, were substantialists while they accepted also change much in the same manner as Aristotle. But we need not proceed in this comparative vein any further. It is important to understand now the Nyāya-Vaiśeṣika doctrine of existence as well as their notion of substance. Vaiśeṣika-sutra 8.14 asserts that what exists can be analysed into three categories, substance quality and action.[5] Existence in this system is regarded as a generic property common to the members of the three classes, substance, quality and action. Each of these classes has a class-property or generic property, viz., substance-ness, quality-ness and action-ness; but these generic properties are to be distinguished from 'existence' as a generic property.[6] Candramati, in fact, regarded existence as a separate category (*padārtha*) altogether while class-properties like substance-ness were included under the category of 'generality' (cf. *sāmānya* or *sāmānya-viśeṣa*). But Praśastapāda interpreted 'existence' as the highest generic property and thus brought both existence, on the one hand, and other class-properties like substance-ness and quality-ness, on the other hand, under one category (*padārtha*) called generality.[7] But still a special place was accorded to existence as the all-inclusive generic property which should be distinct from the included (*vyāpya*) generic

properties such as substance-ness and quality-ness. A particular substance is characterized by the *being* of substance or substance-ness much as it is also characterized by many qualities and probably by some actions. But it is also characterized by 'existence' (inasmuch as it exists) which is not to be identified with its substance-ness or with any of its quality.

The best way to explain the notion of existence in this system is to contrast it with the notion of 'real' as well as with that of the non-existent. Existence along with other included generic properties are themselves REAL but not EXISTENT. For, otherwise, we will have to indulge in talking about the existence of existence and so on *ad infinitum*. Similarly, the important relation called *samavāya* that combines the generic property existence with the particular existents, such as a substance or a quality or an action, is also regarded as REAL but not EXISTENT.[8] Thus, the generic properties and their inseparable relation with the particulars are posited as real, as means of explicating the notion of existence. Hence they themselves should not be construed as 'existents' to avoid the problem of self-dependence and regress but nevertheless, these notions, existence, generalities and *samavāya*, are claimed in this system to be real in the sense of their being independent of our thought or mind and thus being distinct from a non-entity. A non-entity is NON-EXISTENT and hence unreal, for example, the sky flower, the son of a barren woman, the rabbit's horn and the unicorn.

Briefly stated, the 'Existents' in this system (early Vaiśeṣika) are equivalent to the particulars, such as a chair, a particular color, a particular action. The class of existents is a sub-class of the class of reals. Universals (including relations) are not thus EXISTENTS but REALS. Praśastapāda used two significant notions in order to separate the class of existents from that of universals: *sattā-sambandha* and *svātmasattva*. The first notion characterizes each

existent, for it means that EXISTENCE resides in the particular entity by *samavāya* relation. The second notion became a bit puzzling for the later commentators. Udayana explains it as 'lacking existence' (*sattā-viraha*). Śrīdhara gives almost the same interpretation but also points out that 'existence' could be ascribed to the universals only by mistake. Vyomaśiva says that while the first notion means that EXISTENCE is correctly applied to the class of particulars, the second notion means that EXISTENCE is only metaphorically applied to the class of universals.

The riddle of existence and non-existence is further complicated in the later Nyāya-Vaiśeṣika by the acceptance of negative properties as real. Our negative statements, according to the later Nyāya-Vaiśeṣika, are expressions of something, some negative facts. The affirmative-negative dichotomy among judgments is interpreted differently in this system. Thus, just as a positive judgment attributes a positive property to a thing so also a negative judgment attributes another property, a negative one, to the thing denoted by the subject-term. Just as a positive property predicated by a judgment can be construed as a real property, so also a negative property, absence of some positive property, predicated by a judgment can be construed as a real property. Thus, 'the room is dark' can be interpreted as expressing the room that is characterized by the property of absence of light. Now, this property, absence of light, and the like, are regarded by the Nyāya-Vaiśeṣika as REAL inasmuch as they are to be distinguished from the unreal such as the round square, and unicornhood. But again, care should be taken to note that the absence of light is not however EXISTENT in this system in the sense a substance or a quality or an action is existent. It may also be noted that although the negation of an entity is construed in this system as expressing absence of that entity, a so-called negative property, no non-entity like the sky flower or the unicorn can be

negated (in other words, absence of such non-entities will not be an acceptable negative property in this system).[10]

Leaving aside the riddle of existence and non-existence, let us concentrate on the Nyāya-Vaiśeṣika doctrine of substance and quality, which was at the focal point of their ontology. Several notions of substance have been emphasized in the Vaiśeṣika at some time or other: 1. substance as the locus of qualities and actions,[11] 2. substance as the substratum of change,[12] and 3. substance as capable of independent existence.[13] It is difficult to say whether the concept of substance as the logical subject was at all implied in early Nyāya-Vaiśeṣika doctrine, for it was never thoroughly worked out. Later Nyāya and Buddhist logicians (notably Diṅnāga) developed the concept of *dharmin* 'property-possessor' which was the nearest Indian analogue for 'logical subject'. But this concept was regarded as neutral to the ontological beliefs of the logicians. The concept of substance as the unchanging 'essence' was prevalent in the Sāṃkhya school as well as in the early Vedānta (cf. the spiritual substance), but this concept was not treated seriously in the Vaiśeṣika school. It is also to be noted that the Mādhyamika Buddhists were uncompromising critics of the doctrine of *sva-bhāva* 'own-nature' which was analogous to the notion of essence or inner immutable core of things.

The doctrine of substance as the substratum of change needs further elaboration in the present context, for this will throw much light on the Vaiśeṣika theory of causation and change. For any effect, the Nyāya-Vaiśeṣika will identify a particular substratum cause (*samavāyi-kāraṇa*) in which that particular effect is supposed to inhere. If the physical conjunction of two material bodies are taken to be the effect in question, its substratum cause will be the two bodies themselves. If the taste of a fruit is regarded as the effect, its substratum cause will be the fruit-stuff itself. But when the effect is

nothing but a concrete individual like a pot, its substratum cause will be the pot parts, or in final analysis, the atomic constituents of the pot material. Thus, the substratum cause of an effect need not be an ever unchanging substratum. We do not have to posit an unchanging substantial core as the locus of change. What is needed is only the temporal stability, persistence through a period of time, of the substance which acts as the locus of the effect.

The substances are, according to the Nyāya-Vaiśeṣika, either impermanent (having origin, stability and decay) or permanent (without origin or decay).[14] Material bodies of intermediate size (called *avayavin* 'whole' in this system) like a pot or a table are of the first type. They have temporal stability and can be the loci of qualitative change. These substances are breakable into parts and those parts into further parts. But the atomic constituents of these substances along with other non-material substances such as soul, sky, time and space are of the second type, i.e., permanent. An important part of this doctrine of substance is the ontology of the 'whole' (*avayavin*) as distinct from the assemblage of parts. A material body, e.g., a piece of chalk, is a whole which is a distinctly existent entity to be distinguished from the integration of its parts or combination of its atomic constituents. It is a new entity that is created as soon as the parts or atoms are put together. Moreover, draw a line on the board with this piece of chalk and you have created a new piece, for some parts of the old one are lost. The seeming identity of the new one with the old piece works for all our practical purposes, but ontologically the two are distinguishable.

The Buddhist anti-substantialism finds its extreme expression in the Sautrāntika doctrine of momentariness. According to this doctrine, a seemingly stable object like a chair is dissolved into a cluster of continuously fluctuating chair-moments or chair-stages. The real entity is a point-instant, an exclusive particular, an essentially

unqualifiable, ineffable 'here-now' subject. Everything else in this system is only a conceptual construction – an interplay of the commonly shared imagination. In what sense does a moment exist? A moment exists insofar as it functions in some way or other. Thus, Dharmakīrti has argued that *to be* means to be capable of functioning in some way or other.[15] If a thing does not have causal efficacy, it does not exist. Starting from this initial position, Dharmakīrti and his followers have formulated a proof of their 'flux' doctrine. It will be interesting to note the crucial steps taken by the Buddhists in proving the 'flux' doctrine:[16]

1. To be is to do something, i.e., to function or to have causal potency.
2. To have causal potency means to be actually doing what is supposed to be done.
3. If something has causal potency at a particular moment it must do its work at that moment. (This is a rephrasing of 2.)
4. If something does not do a work at a given moment, it must be causally *impotent* to do that work. (This is a contraposition of 3.)
5. The same thing cannot be both causally potent at one moment and impotent at another (next) moment, for potency and impotency are contradictory properties, mutually incompatible.
6. Therefore, the thing at the moment of its potency must be held onto-logically different from the thing at the moment of its impotency. A difference in qualities implies difference in the thing itself!
7. Everything, in this manner, can be shown to be in perpetual flux. We cannot step twice into the same river!

The most crucial step is taken by the Buddhist here when he identifies causal potency with actuality or actual doing. In other words, the notion of potentiality is completely rejected. If a thing

exists and it is capable, it must function without lying in wait for anything to come and help. If we posit two different functionings at two different moments, we have to construe them as belonging to two different things or objects. In each moment a new object (*bhāva*) emerges when a new functioning sets in and the old functioning perishes. Thus, what exists is the ever fluctuating here-and-now. Even the ontology of stages or moments is not quite satisfactory to the Buddhists. For moments or stages are also hypothetical abstractions in the face of continuum. Thus, we have to say that there is only process, only flux, without something being there to fluctuate. There is only transmigration without there being any transmigrating soul (cf. the 'non-soul' doctrine).

Udayana, setting forth a defence for the Nyāya-Vaiśeṣika doctrine of substance, has criticized the above argument of the Buddhist by pointing out that it is essentially dependent upon the total rejection of the notion of potentiality. Why, asks Udayana, is it to be assumed that the causally potent cannot (and should not) 'wait' for its accessories. Causality operates with two mutually compatible notions: *svarūpayogyatā* 'potentiality' and *phalopadhāyakatā* 'actuality'; the former relates to the general while the latter relates to the particular. If the Buddhist equates potentiality with actuality then, Udayana argues, part of the Buddhist argument is reduced to tautology, for he would have to say that *x* is actually functioning because it actually functions. And tautology is not a good philosophic argument. In fact, potentiality is explained by Udayana not as an essential constituent of the thing, but as the *mere presence of the thing coupled with the absence of some accessory or other and the consequent absence (or non-arising) of the effect.*[17] Thus, Udayana argues, if *x* does not cause *y* when and only when *z* is absent then it follows that when *z* is present *x* produces *y*. This is only another way saying that *z* is an accessory to *x* in bringing about *y*. Besides, the

properties of causing *y* and not causing*y* are not two mutually incompatible characters like cow-ness and horse-ness. A cow, of course, can never be a horse. But a thing, if it is not just a flux, can cause *y* at time t_1 and may not cause *y* at time t_2.[18] In fact, what Udayana says is reminiscent of Aristotle's rejection of potentiality:[19]

There are some who say, the Megaric school does, that a thing 'can act only when it is acting, and when it is not acting it 'cannot' act, e.g. that he who is not building cannot build, but only he who is building, when he is building; and so in all other cases. It is not hard to see the absurdities that attend this view.

It is rather significant that the arguments and counterarguments of Dharmakīrti and Udayana were presupposed much earlier in the Megaric school as well as in Aristotle.

Dharmakīrti's argument to prove his 'flux' doctrine was not entirely an innovation in Buddhist tradition. He must have derived his idea from Nāgārjuna's dialectic. Nāgārjuna, for example, has argued that if something exists it should exist always, and if it does not exist at one time it cannot exist at any time.[20] This is how Nāgārjuna has criticized the concept of existence and 'own-nature'. Dharmakīrti first assumes that *to be* means to have causal potency. Then he argues: if something has causal potency it must be functioning all the time, and if something does not have the causal potency at one time it would never have it at any other time. But Nāgārjuna's philosophic conclusion is rather different from that of Dharmakīrti. With the above argument Nāgārjuna wishes to avoid the extremes of eternalism and annihilationism and follow the Middle Way. Dharmakīrti, on the other hand, intends to conclude that since functioning is instantaneous, existence is also instantaneous. And when we think of Udayana's counterargument, we are again reminded of Aristotle:[21]

Again, if that which is deprived of potency is incapable, that which is not happening will be incapable of happening; but he who says of that which is incapable of happening either that it is or that it will be will say what is untrue;.... But we cannot say this, so that evidently

potency and actuality are different (but these views make potency and actuality the same, and so it is no small thing they are seeking to annihilate),....

The Jaina ontological position is influenced by both the Buddhists on the one hand and the Nyāya-Vaiśeṣika on the other. The Jainas were also substantialist, but in a very qualified sense of the term. Their conception of existence (*sat*) is intimately related to their doctrine of substance. The *Tattvārthasūtra* 5.29 asserts: "What there is, has the nature of substance."[22] And the next sutra (5.30 in the Digambara tradition) adds: "What there is (the existent), is endowed with the triple character, origin, decay and stability (persistence)."[23] The *Tattvārthabhāṣya* explains that whatever originates, perishes and continues to be is called the existent; anything different is called the non-existent.[24] The next sūtra asserts that the existent is constant for it never gives up its being (essence?).

In sūtra 5.37, the substance is again characterized as the possessor of qualities (*guṇa*) and modes (*paryāya*). Here the broad category 'attribute' is apparently broken into two sub-categories, qualities and modes. But the distinction between qualities and modes is not found in the sūtra. Umāsvāti points out that qualities are permanent attributes of the substance while the modes are only temporary attributes which are subject to origin and decay.[25]

In the above analysis of the *Tattvārthasūtra*, two compatible notions of substance are emphasized: 1. substance as the core of change or flux and 2. substance as the substratum of attributes. Kundakunda combines these two notions as he defines substance in his *Pravacanasāra*:[26]

They call it a substance, which is characterized by origin, persistence and decay, without changing its 'own-nature', and which is endowed with qualities and accompanied by modifications. For the 'own-nature' of the substance is its existence (*sad-bhāva*) which is always accompanied by qualities and variegated modes, and at the same time, by origin, decay and continuity.

The Vaiśeṣika school, as we have seen already, emphasized both these aspects of substance, but did not equate the 'own-nature' of the substance with EXISTENCE. Aristotle, who in fact suggested several notions of substance either implicitly or explicitly, remarked in *Categories*:[27]

The most distinctive mark of substance appears to be that, while remaining numerically one and the same, it is capable of admitting contrary qualities.

In *Metaphysics*, Aristotle also implied that the substance is what is independently existent, for existence, in the proper sense of the term, applies to substances only, and qualities and relation have a secondary existence, a parasitic mode of being:[28]

Therefore, that which *is* primarily, i.e., not in a qualified sense but without qualification, must be substance.

The Jainas too, identify the notion of 'it is' or 'it exists' with that of substance, and they then explain that 'it is' means that it is endowed with the triple character of origin, decay and stability.

In fact, the Jainas explicated the notion of substance in such a way as to avoid falling between the two stools of being and becoming. It was a grand compromise of flux and permanence. The Jainas inherited from Māhavīra and his later followers the well-known doctrine of 'many-natured' reality (cf. *anekānta-vāda*), and thus a 'compromise' position was only an important trait of their creed. The substance, in their analysis, is being, it is also becoming. Kundakunda observes that a substance has both natures: from the standpoint of one 'one-nature' it is being (*sat*, unchanging), and from another standpoint it has triple character, origin, decay and continuity, i.e., fluctuations.[29] Siddhasena Divākara repeated the point more forcefully:[30]

There is no substance that is devoid of modification, nor is there any modification without an abiding something, a substance. For origin, decay and continuance are the three constituents of a substance.

It should be noted that the notion of continuity involved in the triple character of the substance is not identical with the notion of permanence of the substance. The former notion means persistence or continuance (cf. *pravāhanityatā*). The later notion means immutability. It is the notion in the background of which the triple character of origination, destruction and continuity becomes understandable. The notion of continuity, on the other hand, is essentially dependent upon origin and decay. Thus, Kundakunda observes:[31]

There is no origin without destruction, nor is there any destruction without origin, and neither destruction nor origination are possible without what continues to be.

The Jainas were well aware of the Mādhyamika critique of the 'own-nature' concept as well as the problem involved in the doctrine of the permanent substance. It is true that the immutability of own-nature invites a host of problems. But the notion of flux, the Jainas points out, is not sacrosanct. Thus, just as the Buddhists argue that there is only fluctuation, there being no permanent being, the Jainas take the bull by the horns and answer that if there is no permanence there cannot be any change, any fluctuation, for it is only the permanent that can change. It is only the persisting soul that can transmigrate!

When the *Tattvārthasūtras* defines substance as the substratum of qualities and modes, it was probably influenced by the Vaiśeṣika school. Thus, Siddhasena points out that the rigid Vaiśeṣika concepts of substance and quality were not compatible with the Jaina ontological principle of *anekāntatā* 'many-naturedness' or 'non-onesidedness'. In fact it would be as good as a heresy in Jainism if one intends to maintain a rigid distinction between substance and quality. The notion of triple character, origin, decay and continuity, embodying the principle of (conditioned) reality, was derived from the Buddhist source. The Buddha, for example, predicated this triple

character of all the conditioned (*saṃskṛta*) entities. Thus, in the *Aṅguttara* I, the Buddha said:[32]

Of the conditioned entities, monks, the origin is conceived, even so their decay and their stability (persistence).

Nāgārjuna, however, directed his dialectical attack against the notion of the conditioned (*saṃskṛta*), and concluded:

Since the notion of origin, persistence and decay cannot be established, the conditioned does not exist. And if the conditioned is not established, how will the unconditioned be established?

But why then did the Buddha speak about the triple character of the conditioned entities? Nāgārjuna replied:[33]

Just as magic, dream and the cloud-castle are unreal (but, nevertheless, are spoken about) so also origin, stability and decay have been described.

The Jainas postulate the triple character in the case of each event, each happening or change of state. Each fluctuation embodies origin, continuity and decay. Samantabhadra illustrates the point as follows: if a golden pot is destroyed and a golden crown is made out of it, destruction, origination and continuity – all three – happen simultaneously and give rise to sorrow, joy and indifferent attitude in the minds of three different kinds of people, those in favour of the pot, those in favour of the crown, and those in favour of the gold stuff.[34]

Siddhasena has shown great philosophic insight in expounding the Jaina ontological problem. According to him, reality can be viewed from two important standpoints, being and becoming, permanence and change. That is why Lord Mahāvīra acknowledged only two *nayas* or standpoints: 'substance exists' and 'modification exists'. If *x* is an element of reality, then, according to Siddhasena, *x* can be viewed as a SUBSTANCE from the standpoint of being, and as a PROPERTY from the standpoint of becoming. The standpoint of 'becoming' (modification) reveals that everything originates, stays

and perishes; the standpoint of 'being' ('it is') reveals everything as existent, eternally without birth or decay. And, Siddhasena asserts, there cannot be being without becoming, or becoming without being; therefore, a substance (= reality) is defined as the combination of being (the existent) with becoming (origin, stability and decay).[35]

The 'being' aspect is, according to Siddhasena, the result of generalization while the 'becoming' aspect is that of particularization. In our ordinary description of things, we necessarily combine the general with the particular. From the point of view of the highest generalization, a thing is described as 'it is' which reveals the permanent being, the substance. But when, in ordinary descriptions, a thing is called a piece of wood, or a chair, or a red chair, we have an intermixture of 'being' and 'becoming' aspects. Insofar as the thing is identified as a non-fluctuating substance, it is the 'being' standpoint. And insofar as the attributes of the thing, such as being a piece of wood, being a chair, or redness, are revealed by the description, it is the 'becoming' standpoint. Qualities are nothing but modes or states of the substance. In any characterization or description of the thing there is thus an overlap of 'being' and 'becoming' standpoints, until we reach the ultimate particularity, pure BECOMING, i.e., the point-instants (*kṣaṇas*) of the Buddhists.[36]

Thus, the Jaina conception of reality, in bringing together the opposing viewpoints of the Buddhists and the Nyāya-Vaiśeṣika, comes very close to that of Whitehead, according to whom the chief aim of philosophy is the "elucidation of our integral experience", of both the flux and permanence of things. Whitehead has said that philosophers who have started with 'being' have given us the metaphysics of 'substance' and those who have started with 'becoming' have developed the metaphysics of flux. But Whitehead point out the inseparability of the two:[37]

But, in truth, the two lines cannot be torn apart in this way; and We find that a wavering balance between the two is a characteristic of the greater number of philosophers. Plato found his permanences in a static, spiritual heaven, and his flux in the entanglement of his forms amid the fluent imperfections of the physical world.... Aristotle corrected his Platonism into a somewhat different balance. He was the apostle of 'substance and attribute', and of the classificatory logic which this notion suggests.

In the Indian context, one may observe that the Buddha's search for *nirvāṇa*, the unconditioned state, freedom from suffering or *duḥkha*, spelled out a philosophy for the later Buddhists, according to which the flux of things, impermanences, "the fluent imperfections of the physical world" are identical with suffering (*duḥkha*, cf. whatever is impermanent, is suffering). And NIRVĀṆA, the unconditioned state, is actualized with the cessation of this *duḥkha*. The Vaiśeṣikas, on the other hand, were, much like Aristotle, the apostles of substance-and-attribute duality.

NOTES

* This paper was originally presented to panel discussion at an International Philosophy Conference held in New York, April 1976.

[1] Stcherbatsky, pp. 24–25.

[2] *Cratylus* 402a: "Socrates: Heraclitus is supposed to say that all things are in motion and nothing at rest; he compares them to the stream of a river, and says that you cannot go into the same river twice."

[3] *Metaphysics* 1010a: "It was this belief that blossomed into the most extreme of the views above mentioned, that of the professed Heracliteans, such as was held by Cratylus,…"

[4] Ibid., 1010a, 1. 13–14.

[5] *Vaiśeṣika-sūtra* 8.14: "*artha iti dravya-guṇa-karmasu*".

[6] Consult *Vaiśeṣika-sūtras* 1.2.7–1.2.18.

[7] Thus it is that Praśastapāda explains *sāmānya* as being of two types: *para* and *apara*. *Parasāmānya* is existence. Substance-ness etc. are *aparasāmānya*. See Praśastapāda, p. 15. For contrast, see Candramati, pp. 99–101.

[8] I am using the term REAL for the Vaiśeṣika term *padārtha*, EXISTENCE for the Vaiśeṣika term *sattā*.

[9] Praśastapāda, pp. 20–21; see also Udayana, p. 21; Śrīdhara, pp. 49–50; Vyomaśiva, pp.118.

[10] See B. K. Matilal, 'Reference and Existence in Nyāya and Buddhism', *Journal of Indian Philosophy* **1**, No. 1 (1970).

[11] Vaiśeṣika-sūtra, 1.1.7: "*kriyā-vad guṇa-vat samavāyi-kāraṇam iti dravyalakṣaṇam.*"

[12] Vaiśeṣika-sūtra, 1.1.17: "*dravya-guṇa-karmaṇāṃ dravyaṃ kāraṇam sāmānyam.*"

[13] This is implied by the Navya-nyāya doctrine that a substance can exist by itself at the moment it is produced, without being joined by qualities and action (cf. *utpatti-kṣaṇāvacchinno ghaṭo nirguṇo niskriyaś ca*).

[14] See Praśastapāda, p. 22. Udayana comments: "*anitya-dravyatvaṃ cānyatra nir-avayava-dravyebhya iti.*"

[15] *Pramāṇavārttika*, Ch. 2, v. 3: Ò*arthakriyāsamarthaṃ yat tad atra paramārthasat*, p. 100.

[16] For the most elaborate presentation of the 'flux' doctrine, see Jñānaśrīmitra, pp. 1–159.

[17] See the first chapter of *Ātmatattvaviveka*, specially pp. 16–25: "*yad yad-abhāva eva yan na karoti tat tat-sadbhāve tat karoty eveti.*"

[18] Ibid., p. 24.

[19] *Metaphysics*, 1046b, 28–32.

[20] *Mādhyamika-śāstra*, Ch. 7, verses 30–31.

[21] *Metaphysics*, 1047a, 10–20.

[22] "*Sat dravya-lakṣaṇam*", Tattvārthasūtra 5.29.

[23] "*Utpādavyayadhrauvyayuktaṃ sat*", ibid. 5.30.

[24] See Umāsvāti, under sūtra 5.29.

[25] Ibid., under sūtra 5.40.

[26] Kundakunda, *Pravacanasāra*, Ch. 2, verses 3 and 4.

[27] *Categories* 4a, 10–14.

[28] *Metaphysics* 1028a, 29–30.

[29] Kundakunda, *Pravacanasāra*, Ch. 2, verse 7.

[30] Siddhasena, *Sanmati*, Ch. 1, verse 12.

[31] Kundakunda, *Pravacanasāra*, Ch. 2, verse 8.

[32] Quoted by Candrakīrti, see Nāgārjuna, *Mādhyamika-śāstra*, p. 73.

[33] *Mādhyamika-śāstra*, Ch. 7, verse 34.

[34] Samantabhadra, *Āptamīmāṃsā*, Ch. 3, verse 57.

[35] Siddhasena, *Sanmati*, Ch. 1, verses 11 and 12.

[36] Ibid., Ch. 1, verse 9.

[37] A. N. Whitehead, *Process and Reality*, pp. 240–242.

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KARL H. POTTER

VEDĀNTAPARIBHĀṢĀ AS SYSTEMATIC RECONSTRUCTION

The *Vedāntaparibhāṣā* (VP)[1] of Dharmarājadhvarindra (fl. c. 1615) is frequently indicated as an introductory handbook for the study of Advaita Vedānta, analogous to such works as the *Tarkasaṃgraha* for Nyāya, or the *Mīmāṃsāparibhāṣā* for Pūrvamīmāṃsā. To identify it in this way is, however, perhaps to miss the VP's most significant and remarkable feature, which is that it represents the most obvious case of philosophy as system construction found in Advaita literature. The significance and remarkability of this is that it gives the lie to a mistaken impression often disseminated about Advaita, which is that it is by the very nature of its thought mystical, unsystematic or even antisystematic. While those acquainted with Advaita literature are likely not to be victimized by this mistaken impression, it is a common enough one to be worth exposing, especially since it is sometimes implied that it is precisely this mystical, un- or anti-systematic nature which constitutes the glory of Advaita. The *Vedāntaparibhāṣā*, I shall attempt to show, is systematic in a rigorous sense of the word, and it is instructive to view Advaita in its terms, which stand at the culmination of a history of many centuries of careful work of developing Advaita as system.

When I say that the *Vedāntaparibhāṣā* is "systematic" in a rigorous sense of the word, what do I have in mind? In a general sense, a system is an ordered exposition. But there are various ways of achieving order. Dharmarāja's work, I wish to argue in this paper, is

instructively viewed as an especially rigorous kind of ordered exposition, an exposition organized in terms of a series of interlocking definitions derived from a small number of primitive terms.

I

Dharmarāja's work turns around some 84 definitions. Definitions are, of course, not new to Advaita in the *Vedānta-paribhāṣā*: they are a regular part of Advaita, and of Indian philosophy generally, since its earliest beginnings. What makes Dharmarāja's definitions unusual is that they are interconnected with each other so that all of them can be generated from a small base of primitive notions. This is what I shall attempt to set out— though necessarily only partially—in what follows.

But suppose that I can show that these definitions are connected in this way, why do I suppose that is an interesting result? One may well doubt whether any purpose other than an aesthetic desire for elegance is served by relating a lot of definitions in this way. In order to answer this doubt I need to indicate how system-construction can be seen as a most powerful, as well as elegant, way of carrying forward a philosophical program.

One of the most important books of 20th century philosophy, a work too little known, is Nelson Goodman's *The Structure of Appearance*.[2] In it, a certain philosophical program is carried forward through system-construction; furthermore, one finds in the pages of Goodman's book, as well as in other published pieces of his, valuable observations and arguments concerning the nature and value of system-construction in the manner of SA (as I shall call Goodman's book and the system it develops). While I cannot do justice in a

single lecture to the depth and breadth of Goodman's analyses, I shall have SA very much in mind as I proceed.

Let us start from some truisms about what philosophy is, or may be, about. A philosopher, perhaps among many other things, sometimes attempts to clarify and explain a certain subject-matter in keeping with some purpose or set of purposes (such as clarification of meaning; discovery of truth) to which he is committed. Thus he might be thought of as a kind of mapmaker: he explores a territory and "maps" it in such a way as to enable those who use his map to find their way around in the territory assuming they are guided by the kind of purpose(s) he had in mind. So, a highway map of Italy helps a motorist to proceed from Naples to Rome, to identify towns near the main route if they wish to deviate for lunch, and so on. The relativity to purpose of a map is a point worth noticing. A mapmaker is not trying to recreate the territory: as Goodman says, "let no one accuse the cartographer of merciless reductionism if his map fails to turn green in the spring."[3] Recreating the domain is not what the mapmaker is up to.

In the case of highway mapmaking the domain is clear enough: it is provided by the features of the territory being mapped, those features which are relevant to the purposes in point, viz., getting from here to there most efficiently and by established roads, etc. But mapmaking is evidently an analogy: a philosopher is not a cartographer in the literal sense of the term. And so one may well ask: what is the domain the philosopher treats in a fashion analogous to the way the cartographer treats a territory of space?

There is no single answer to that. Philosophers have had various purposes in mind, and in turn these picked out various aspects of things as worthy of their attention. But we may be able to devise a general way of speaking about the domains of philosophical

explanation if we consider another way of thinking about what the mapmaker does. We could say that the highway mapmaker, considering a domain and having in mind serving a certain purpose, provides a method of giving a clear answer to all questions which a motorist might raise about his relative location to roads and towns and whatever else he needs to know to satisfy his purposes as motorist trying to get from one point in the domain to another. Thus, one might say, the map provides the motorist with a way of answering all such questions (perhaps within certain restrictions which are understood implicitly or explicitly). Or, to put it another way, if we consider all the things a motorist might say about his relative location *vis-à-vis* roads and towns (e.g., "I am going north from Naples," "Rome is 20 kilometers ahead," etc.), the map tells us which of those statements are true and which are not true, i.e., which ones to trust and act upon and which ones not to. Likewise, we can conceive of the philosopher providing a similar service for those oriented toward the purposes the philosopher has in mind serving. Whatever that purpose is, the philosopher will produce a translation manual in which, for every statement germane to that purpose (and within certain restrictions which are understood implicitly or explicitly) there either is a translation ofthat statement in the manual, or a translation of its contradictory, or neither, but not both. If there is a translation in the manual, that shows the statement to be true; if of its contradiction, that shows the statement to be false; and if neither, that shows the statement to be confused or irrelevant or that it conflates more than one statement, so that it is neither true nor false *simpliciter*, though it may or may not be related to statements in the manual in other ways. Once again, the set of statements in the manual provides a way of telling which of the original statements to trust, and which not.

We have, then, the conception of a system as a translation manual or scheme the input into which is a set of ordinary language statements and the output from which consists of translations of some of these together with clarification of the others. The limits on the input sentences reflects the philosopher's choice of the purposes he wishes to serve and the domain over which he wishes to range in his translations. Philosophy is frequently philosophy of something—philosophy of science, philosophy of mathematics, philosophy of art, political philosophy, and so on—and these descriptions identify in a general way what sorts of statements those kinds of philosophers are concerned to translate. Of course, "philosophy of science," etc., are merely very general rubrics, and we can hardly expect them to classify neatly all the purposes and domains philosophers commit themselves to.

We have, then, the conception of a philosopher constructing a translation manual for a group of ordinary language statements picked out in reference to a purpose and a domain. But why should he do such a thing? What's wrong with the statements in the first place? Why do they need translating? The answer, of course, is that ordinary thinking about a domain and a purpose may be very fuzzy. Our language and concepts are frequently infected by vagueness and ambiguity, with the result that confusions arise, and we sometimes act on the basis of statements which are either flatly false or else so confused that they provide little or no basis for successful action. So, the translation manual should be written in a language which is, by comparison with ordinary language, precise, unambiguous, and whose statements are consistent with one another. Thus, just as a map is a bad one if its design is vague, its symbols ambiguous, and the directions as to how to proceed derived from it inconsistent with each other, a translation manual is a bad one if its syntax and/or terms are vague and ambiguous and if its

constituent statements are mutually inconsistent, and for analogous reasons.

To put it in more formal terms, the criteria for a successful translation manual include internal (1) consistency with each other of the sentences in the manual and sufficient (2) clarity to enable a person using the manual to manage the domain and achieve the purpose delimiting the scope of the manual. To these we may add a few other criteria. First, the manual must be able, at least in principle, to translate *every* ordinary language statement falling within the limits of the domain and purpose. This criteria I shall call (3) adequacy. The manual must give us a workable basis for making decisions as to how to achieve the purpose, so that by acting on those decisions we succeed in achieving the purpose. This criterion I shall call (4) accuracy. And the manual must be intelligible yet powerful, which is to say that the audience for whom the manual is intended should be able to understand the terms in which the translations are couched as clearly derived from a small basic vocabulary with which he is, or can be made to be, familiar and which is itself sufficiently clear. This criterion I shall call (5) economy. To revert to the analogy of mapping in order to shed some further light on the last three criteria, it should be apparent that if a map only shows *some* features, say, only some roads relevant to the purpose, but not others it is less satisfactory than a map which shows *all* such features, i.e., it is relatively inadequate. A map which is misdrawn, so as to direct a person trying to get to Rome towards Florence instead, is inaccurate. And a document with no key to its symbols, or which uses a different symbol each time for recurrent features, is hardly worth calling a map. To the extent that inconsistency, unclarity, inadequacy, inaccuracy and lack of economy infect a translation manual, to that extent it is less satisfactory than we might hope.

What might be the organization of a translation manual that would be most likely to satisfy, or best approximate to satisfying, these criteria? It should be written in a language that its intended users can understand, a language which is recognizably connected with the ordinary language in which the sentences to be translated are couched, so that it will be evident that those sentences are indeed being translated. Yet the point of the translation is not, of course, to reproduce the deficiencies (unclarity, inconsistency, etc.) inherent in the sentences to be translated. The translations in the manual must be in a "clarified" version of the language, one in which both the syntax and the semantics of the translation sentences are carefully controlled so as best to achieve satisfaction of the criteria mentioned. Goodman argues cogently that what this conception of the philosopher's task suggests is the construction of a *system* of *definitions*.

The translation manual should be organized around definitions. These definitions, notice, are definitions in the manual, i.e., they are not definitions of the concepts of the manual in terms of the concepts of the language to be translated. Nevertheless, since the language of the manual must be intelligible to users of the language being translated, this means that the definitions must ultimately be couched in terms understandable and explicable in the ordinary, presystematic language and so subject to whatever unclarity is inherent in those presystematic understandings and explications. For this reason alone, the fewer "primitive," that is, undefined terms that the definitions rest on, the fewer opportunities for confusion. By minimizing the occasions for confusion through depending on as few primitive terms as possible, we also minimize possible inconsistencies that might crop up if we failed to follow a rigorous and systematic way of proceeding from definition to definition. This suggests that the definitions should constitute a system, i.e., an

interconnected group of translations involving the primitive and defined terms organized through the interconnections among those terms. In short, the procedure is to select a few primitive terms—as few as we can get away with—and then to define other terms in terms of those primitives, still others in terms of the stock of defined terms plus primitives at hand at a given point in the process, and so on until we have provided a vocabulary in which every sentence in the domain and relevant to the purpose finds a translation into that vocabulary.

That is the rationale for system-construction of the sort that Goodman practices in SA. He takes his cues to some extent from an earlier exercise in system-construction. Rudolf Carnap's *Die Logische Aufbau der Welt*,[4] Indeed, Goodman provides an analysis and critique of Carnap's construction in SA itself.[5] Since I am more familiar with Goodman's own system, and since it is written in English, I shall spend a bit of time characterizing the system constructed in SA as an illustration of the sort of translation manual I have been talking about.

Goodman points out that in going about constructing a system one must initially make three kinds of choices. First, one must decide what sort of syntax, that is to say, what logical connectives one will use in forming the sentences of the translation manual. Goodman's own choice here is to use standard quantificational symbolic logic of the sort developed in *Principia Mathematica* and commonly taught in logic classes today in American and British universities. It might be noted that, in apparent contradiction to something I have just said, the language of the manual, symbolic logic, does not look like the language of the sentences to be translated into it, which is ordinary English. Goodman notes this but points out that there is no problem since every interpreted symbolic formula which appears in the manual can be rephrased into English; the advantage of the formula

is clarity and rigor, the value of the English rephrasing is intelligibility, and they are both present, though requiring distinct representations, in the sentences of the manual as Goodman conceives them. Standard quantificational logic contains as elements logical connectives, variables and quantifiers, predicates and names. Goodman's plan is to represent the syntax of the sentences in his translation manual, i.e., his systematic translations, by using formulae of standard quantificational logic together with their English equivalent expressions.

The second choice a system-constructor has to make, Goodman tells us, concerns the ranges which the variables will be taken to cover and the kinds of things the names appearing in the formulae will be allowed to denote. The reason why this is an important choice is that it may be thought—and is so thought by Goodman—to represent an initial choice of an ontology. According to a well-known thesis, implicit in *Principia Mathematica* but regularly associated with the authority of W. V.O. Quine, "what there is," i.e., what one is ontologically committed to, is a matter of the values over which one's variables are allowed to range. This is clear from the meaning attached to the existential quantifier ∃, which is to be read as "there is at least one x such that," committing one to the existence of at least one thing of a certain kind. Since logical transformation can, though under restrictions, lead from universally quantified statements to existentially quantified ones, the variables over which universal quantifiers are allowed to range also reflect ontic commitments. In short, the ranges of the values of the variables over which one's quantifiers extend provide one kind of primitive notion for the system. If we understand "(x) (Man x ⊃ Mortal x)" as saying that for anything, if it is a man then it is mortal, we are making use of the primitive notion of a *thing*. If the translation manual contains such expressions as

read "there is at least one thing and at least one time such that that thing occurs at that time," we are invoking times as well as things as values of our variables. Other likely candidates for values of variables include places (i.e., positions in a spatial array), events, persons, thoughts, atoms, physical objects, etc. By recognizing one or another of these as values one admits them as presumptively unproblematic parts of one's ontology.

The third kind of choice that must be made is that of the primitives of the system. A primitive notion is one which is not defined itself within the system, but in terms of which other notions receive their definitions. In order that the requirements of intelligibility be respected, primitive notions must be explicable, but their explication is not strictly part of the system itself, but rather in ordinary language. For example, in SA Goodman's basic primitive is represented as "W," standing for "with" and called "togetherness," explicated as the relation which links each pair in an experience of a color at a time at a place in one's visual field. Colors, places and times are values of variables in Goodman's system, and a color's being with a time (for example) is something that happens in our experience but is not defined within his system: we are supposed to be able to recognize that kind of experience and, through any help by discussion or pointing or whatever, be able to identify the relation intended.

In system-construction of this sort one aims at the simplest basis of primitives. This is the criterion of economy that we mentioned above, also called "simplicity." It is frequently supposed that economy or simplicity is an ancillary desideratum, only worth seeking for elegance sake after the other criteria of success have been satisfied. Goodman disagrees, and I quote.

Most generally speaking, the purpose of constructing a system is to interrelate its predicates. The same purpose is served by reducing to a minimum the basis required. Every definition at once both increases the coherence of the system and diminishes the number of predicates that need be taken as primitive. Thus the motive for seeking economy is not mere concern for superficial neatness. To economize and to systematize are the same.[6]

Goodman develops a way of comparing the relative economies of different choices of primitives by examining their relative strength as constituted by a function of their explanatory power and the number of places the predicates have. The concern for the number of places in a predicate arises because if one merely measured simplicity in terms of the number of primitive predicates a system has one could easily collapse all the primitives into a single one with an enormous number of places. Since any system can do this all systems will turn out to be equally economical. The resulting problem—of specifying just which combinations of number of primitives and number of places is preferable, which less so—turns out to be more difficult than one might have thought.[7]

Just which predicates one chooses as primitives is, of course, a function of the purposes one is concerned to serve and the nature of the domain one is systematizing, which is to say, the kinds of ordinary language statements one plans to translate. Goodman sees this choice as a possibly neverending matter of trial and error. One tries one basis of primitives, sees how far he can get by building definitions and thus finding ways of translating, until he runs afoul of one of the five sorts of criteria of success I mentioned earlier. At this point one goes back and starts again at some choice point, making a different choice of basis, trying a different kind of definition.

Having made an initial choice of primitives—and of values for the variables and a logic—one is ready to start trying to build a system of definitions. Goodman's own system has as its purpose translating ordinary statements about the physical world into a manual in which

only phenomenal predicates are used, i.e., it is a systematic way of furthering the philosophical program called phenomenalism. As we have seen, his variables range over colors, times of presentation and places in the visual field. His initial primitive is W, togetherness. In terms of W he first defines what it is to be a "quale," i.e., to be one or another of the three basic kinds of things recognized in the system—colors, times and places. Then he defines the notion of being a "complex," describable in English as an entity such that every two discrete parts of it are together. "Complex" is thus a defined term in the manual or system. From there he moves on to define a concretum as a complex that is not itself together with any quale or complex. A concretum is a color-spot-moment, that is, it is the appearance of a color at a specific time in a specific place in one's visual field. Next, he defines "(quale x) is a quality of (complex y)," and then considers ways of defining predicates of the sizes and shapes of things. And so on. The eventual aim is to be able to translate ordinary language and scientific statements such as "at 10 o'clock the 5-foot square box moved 3 feet north" into the system so constructed, in which the only primitive notions are phenomenal.

In this way the system-constructor painstakingly works away at providing answers to one or another fundamental philosophical question, or usually, a whole nest of questions. In Goodman's case the nest includes the so-called "mind-body problem" about the relation of the physical world to experience, and thus implicitly involves the entire epistemological controversy between realism and idealism. He also, at the same time, has chosen "atoms of the system," i.e., the values of the variables, which are repeatable entities (viz., qualia—colors, times, places), and another aspect of the program is to translate what we standardly speak of in terms of non-repeatable particulars, such as events, objects and such, into the language of repeatable qualia.

You may say that it seems a very difficult task to no very clear purpose. Why should one want to translate sentences about physical things into one about mental states? One way of answering is to say that one might if he wondered whether there are physical facts or things over and beyond mental ideas and sensations. To revert to the mapping analogy, it would be as if we wondered whether we need to have symbols for, say, north, south, east and west, the compass-points, on our map or whether we could dispense with directions and get the same result by having symbols for up, down, left and right on the map. We would presumably find we can't since we cannot guarantee the reader will not try to read the map upside down, so to speak. That is a rather trivial example, since it would be an odd thing to deem the notion of directions problematic and needing clarification in this fashion.

Another, and more insightful way of answering the question, is to point out that though there are things we think we know for sure about our mental life, we are by no means so confident about things said about physical facts and things, or about the relations between mental and physical things. That is to say, there are lots of ordinary statements of this sort made by ordinary people and even by scientists whose truth-value is not at all clear. Consider "nothing can be red and green all over at the same time," "every event has a cause," "my mind is in my head," and all the myriad puzzling propositions that philosophers have traditionally puzzled over. These are statements that need translating into a clarified language, if only to get rid of them in place of some statements we can confidently assign truth-values to.

Of course, a lot of statements are such that if a translation manual rendered them false we should burn the translation manual rather than change our minds about the statement. These are the statements that reflect the context of the purposes which generates

the inquiry at hand. If the manual, for example, that is constructed in order to decide, among other things, whether "nothing can be red and green all over" should be such as to make true the translation of the ordinary sentence "nothing can be red at all," we should lose interest in that manual for that purpose. This is an important point to recognize. Inquiry is always for a purpose, and the parameters of a problem are a function of the problem. Solutions to the problem must occur within those parameters.

An important and, I think, refreshing feature of the attitude of the philosophical system-maker, certainly as Goodman construes it, is its lack of dogmatism. One constructing a system should be very wary of making any unwarranted claims for his particular choices in starting a construction. The choices of logic, atoms of the system, and primitive predicates are viable only if the system that results succeeds, which is to say, only if the system so based satisfies the criteria of success that we have alluded to better than any other rival system. But the number of possible rivals that are pertinent to any given domain and purpose is indefinitely many, and there is little reason *a priori* to suppose that one set of choices is more likely to succeed than another. There is no shortcut to success in system-construction. Thus prior to actual long, hard work one does not have sufficient reason to assume that physicalism rather than phenomenalism, realism rather than nominalism, or any other metaphysical position is necessarily true. These metaphysical positions become hypotheses when viewed as choice points in system construction, tentative lines of solution which may turn out to be impossible to sustain. Thus if the purpose is to resolve the mind-body problem, say, translation of the sentences of the domain into physicalistic language is one line of solution, translation of those sentences into phenomenalistic language is another. Carnap's *Aufbau* is an attempt to work out a system which reflects the first

choice or hypothesis; Goodman's SA is an attempt to work out a system which reflects the second. Goodman gives arguments to show how Carnap's particular system breaks down, but he does not conclude from them that physicalism is bankrupt as the basis for a successful system. There are or may be other choices of basis which are physicalistic in spirit and which will succeed where Carnap fails.

This undogmatic attitude seems to me to be refreshing in that it keeps lines of inquiry open by contrast with dogmatic claims about metaphysical theses which close (or attempt to close) all lines of inquiry other than those consistent with the favored thesis. It seems especially pertinent when we consider the context in which Indian philosophy operates. Here all parties are committed to the same purpose, which we might characterize as construction of a system or translation manual into which all statements pertinent to the gaining of liberation can be translated in a manner satisfying our five criteria. Antecedent to inquiry there is no reason to suppose that realism is better suited to solving this problem than idealism, that physical-ism is preferable to phenomenalism as a base, or that nominalistic translations will work out better than realistic ones. Viewed in this perspective, the various schools of Indian philosophy represent the beginnings of the construction of systems each of which adopts different bases, i.e., makes choices of logic, atoms and primitives which are distinct from the others, but none of which have any *a priori* reason to suppose that their choices will succeed where others will fail.

II

In the *Vedāntaparibhāṣā* we find many definitions—at least 84 of them by my count. The terms defined include most of the technical terms of the Advaita school's philosophy. My project in this lecture is to suggest how these definitions can be understood as constituting a

system of the kind illustrated by the system of SA. That is, I shall suggest a choice of atoms of the system (values of the variables) and of primitive predicates from which, it seems to me, one can derive a number of Dharmarāja's definitions. I shall not derive them in precisely the order Dharmarāja presents them, nor do I claim that Dharmarāja presents them, nor do I claim that Dharmarāja himself, if he were here, would necessarily approve of the particular choices and order of things which I here propose. My point is rather that Advaita can be viewed as a systematic philosophy, and that Dharmarāja's actual definitions, whether he intended them that way or not, can plausibly be incorporated into a system of the kind I have in mind.

Why do I think this a worthwhile exercise? For one reason, because Advaita is often viewed as mysticism, about as far removed from system as one can imagine. Indeed, some Advaitins like to say that themselves about their school, that is, they like to characterize their school in anti-intellectualist fashion. There is certainly a strong flavor of this in some of Śaṃkara's writings, and one might well, reading both primary and secondary literature on Advaita, come to the conclusion that Advaita is philosophy in an entirely different sense from schools such as Nyāya and other *darśanas*, that its purpose is by negative dialectic to remove the intellectual source of ignorance which veils Brahman, which removal constitutes Self-knowledge and liberation. In much of post-Śaṃkara Advaita, however, the school is not viewed that way; rather, it is understood by its proponents as committed to the same purpose as the other *darśanas*, viz., to show us how to think about things so as to reach liberation, and this is understood as requiring a positive account of the nature of things, since "Self-knowledge" is taken to require understanding, not merely removal of a veil. To put it slightly differently, the mystical interpretation essentially thinks of Advaita as a dialectical method of

causing liberation to occur without inculcating any positive account of things to replace the mistaken notions of the other viewpoints. The nonmystical interpretation agrees that wrong views must be eliminated for one to be liberated, but avers that right views are revealed when the wrong ones are eliminated, and that these are views which form a proper part of a systematic philosophy as much as those of any other school's thought. The mystical interpretation finds the notion of system-construction repugnant, but the nonmystical interpretation has no more reason than any other school to resist systematization, and therefore has an interest in reasons for thinking its system to be comparable to, and hopefully superior to, the systems that can be developed by rival schools.

A second thing which exploring Advaita as system may do is to convince skeptics who (as I once did) feel that the Advaitin's fundamental insight, though a positive one, is not capable of consistently rigorous formulation, convince them that it does indeed support systematic development.

A third thing is to get a feel for what the organization of Advaita theory actually comes to, to bring out which notions are central and which are peripheral. The exercise of systematizing Advaita forces one to confront this sort of question.

These several things which systematizing Advaita can achieve do not actually require completion of the system for their achievement, which is a good thing since space does not allow complete reconstruction of all Dharmarāja's definitions here. It also does not require my following the text blindly: I can use a bit of imagination, or rather, I can import some insights born from the study of other systems, such as the one Goodman builds in SA.

We shall suppose that we are to systematize the insights of Advaita along the lines outlined in the previous lecture. The first

thing to do, therefore, is to propose which choices one plans to make about logic, atoms and primitives. I shall in this exposition pass over the question of the choice of logic: the logic I shall use will be standard quantification theory as set forth, e.g., in Quine's *Methods of Logic*,[8] but I hope to avoid any difficult problems of a purely logical nature. This leaves us with the choice of atoms and primitives, a choice in this case dictated to some extent, though not completely, by the terminology of Advaita and in particular of Dharmarāja himself.

I propose that we admit three kinds of values of variables, i.e., three sorts of atoms of the system. One of these is moments of time. I choose this way of handling time because to define time in terms of other notions is cumbersome, and we need to make references to times almost from the beginning: if I were to try to derive temporality from other considerations I would have no room to do anything else here. In an improved system born of a different choice it is possible times could be eliminated as values and temporality handled as a primitive or defined predicate or family of predicates.

The other two kinds of things I need to have my variables range over are "beliefs" (*niścaya jñāna*) and their contents (*viṣaya*). The strategy is to provide a means of translating all the things that Advaitins want to say about Brahman and *māyā*, levels of reality, perception and the other means of knowing, and so on into a language whose sentences are all about times and beliefs and their contents. If Quine is right, this means that provided this system is the most successful manner of representing the Advaita translation manual, Advaitins are committed to the existence of times, beliefs and contents. This doesn't, however, mean that they are not committed to other things as well. Nor does it mean that these three kinds of things are more real or more existent than others, say, Brahman. It does mean that, supposing this system is successful, the

Advaitin commits himself to these things for the purpose of talking about and thinking about things generally.

The values of our variables, then, range over beliefs, contents of beliefs, and moments of time. The third and last choice I need to make concerns the number and nature of the primitives of the system. I propose to try to make do for present purposes with three primitive predicates, each having three places.

The first predicate corresponds to the Sanskrit notion of *viṣayitā*. It is the relation which holds between a belief and its content and the time at which the belief occurs such that that belief is about that content at that time. I shall represent this as "Ajct." Thus, if at 10 o'clock a.m. on the 1st of June 1983 a certain belief J occurs which has the form "this is a pot," we can say that J is about a certain pot at that time (a content c). Notice that a "content," as here understood, is not necessarily an actual object; it is an intentional entity, what a belief is about, its content. If I am thinking of a pot, there is something—a content, that pot—that I am thinking of even though my thought may be confused or misguided and there is no pot where I think there is one.

The second primitive predicate is termed, in Sanskrit, *avacchinnatva*. It comes to the same sort of relation that used to be indicated by the Latin word "*qua*" in an expression such as "Being *qua* Being." We might parse it as the relation which holds, when I consider at a certain time t a certain thing x under a certain description y, between x and y at t, that is, that at t x is limited by having the form of y for the purpose of my thinking about it. This relation of limitation has several varieties in Advaita: it may be the case that y is an essential property of x, so that when I consider x as a y I am considering it as having one of its necessary constituent features. Or it may in another case be that x doesn't always have y,

so that by considering it under the description "*y*" I am identifying it by its having features which are not part of its nature. These differences will be defined in due course. In the symbolic renditions of my definitions which follow I represent "*x* is limited by (having the form of) *y* at *t* as "Q_{xyt}."

The third primitive predicate, which answers to the Sanskrit *āśritatva*, is a relation of being located at, or in, or on, something. For example, a belief may be located (may occur) in someone or something at a time. I shall represent "*x* is located in (at, on) *y* at *t*" as "L_{yxt}"

If these primitives seem rather mysterious when introduced out of the blue in this fashion, that is to be expected. Their utility is to be demonstrated in the process of building up the system of definitions. Naturally, being primitive, they themselves do not get any definitions in the system.

I have now assembled the materials to begin constructing the system. Within the limits of space I now produce a series of definitions utilizing the atoms and primitives. Some of these definitions are precisely those that Dharmarāja provides, though not in the same order as he presents them. Others are definitions of technical terms that Dharmarāja takes for granted in his exposition but which, given my method here, we need to derive from the materials in hand before we are allowed to use them. I have written them out in the handout in logical formulae, but will explain them in English as I go along.

I start with Dharmarāja's 25th definition, in which he explicates the notion of sublation (*bādha*). Simply put, a belief is said to be "sublated" at a time *t* just if its content is believed to exist up to time *t* but at that point the person whose awareness it is comes to

disbelieve that that content exists, i.e., he ceases having that kind of belief. (Dharmarāja's definition = DD).

DD25: $\text{Bādha} = \text{kāryavināśa upādānena saha.}$[9]

I express this in *my* first definition. (Potter's definition = PD)

PD1: $Bj_1t_{2+} =_{df.} (\exists t_1)(\exists c)(\exists x) (Aj_1\, ct_1 \cdot Lxj_1t).$
$(j)(\sim Ajct_{2+} \cdot \sim Lxjt_{2+})$

which says that a belief J_1 is sublated at a certain time and for all time to follow that (t_{2+}) if and only there is a time prior to t_2 (here called t_1) and a person x such that x has the belief J_1 in the existence of a certain content c at t_1, and such that at t_2 and for all time to follow x does not have a belief in the existence of that content. This fits Dharmarāja's definition (DD25), which says that sublation occurs when an effect (*kārya*) ceases (*vināsa*) along with its material support (*upādāna*). Here J_1 the belief, is the "effect" and its material support is that ignorance (*avidyā*) which is responsible for that belief; both of them cease for good at time t_{2+}.

The materials we have available for further construction are now increased to include the predicate "is sublated by," i.e., "B." In terms of "B" we can now derive Dharmarāja's second definition, the definition of true belief or knowledge, namely

DD2: $\text{Pramā (inclusive of memory)} =_{df.} \text{abādhitārtha-}$
viṣayakajñāna,[10]

as

PD2: $Pr_j =_{df.} (t) (\sim Bjt).$

PD2 says that a belief J is true (Pr) if and only if *j* is never sublated, and that is precisely what Dharmarāja's second definition says.

The early part of Dharmarāja's work concerns the nature of perception. Let us try to reconstruct what he says on this score. First, we need a definition of a concept, that of the internal organ (*antaḥkaraṇa*), a concept he merely takes for granted but which we can't take for granted, given our method. Thus my PD3 doesn't have a corresponding definition in Dharmarāja's set of definitions.

PD3: $\text{Ant}_{xjt} = \text{df. } (c)(t)(A_{jct} \supset Q_{xct})$

PD3 says that an internal organ (*x*) is that thing whose limitation constitutes a belief, that is to say, that a belief is a limitation of an internal organ. An internal organ is conceived in Advaita as a kind of fluid substance which fills up the content of an awareness and takes on its form. When this happens Advaitins speak of an "operation" of the internal organ, and that is what PD4 defines.

PD4: $\text{AV}_{xjt} = \text{df. } (y)(\text{Ant}_{yjt} \equiv Q_{yxt}).$

PD4 says that *x* is the operation of an internal organ relative to a certain belief *j* at a certain time *t* if and only if *y* is the internal organ responsible for *j* at *t* just providing that *x*, the operation, limits that internal organ at that time.

With these notions of an internal organ and its operation in hand, we are now ready to reconstruct Dharmarāja's seventh definition,

DD7: Pramāṇacaitanya = df. antaḥkaraṇavṛttyavacchinna-caitanya.[11]

This definition explicates the important notion of a *pramana* or instrument of true belief. Dharmarāja explains it as any belief that is limited by an operation of the internal organ. This is what my PD5 says also:

PD5: $\text{Pramāṇa}_{jt} = \text{df. } (\exists x)(\text{AV}_{xjt}).$

Dharmarāja's eighth definition

DD8: $\text{Pramātṛcaitanya} = \text{df. antaḥkaraṇāvacchinnacaitanya}$[12]

explains the correlative notion of a *pramātṛ*, i.e, the knower, the seat of true belief, and this is reconstructed in my

PD6: $\text{Pramātṛ}_{jt} = \text{df. } (\exists x)(\text{Ant}_{xjt}) \cdot (\exists c)(Q_{jct}).$

Now true beliefs may be mediate or immediate. Dharmarāja defines a perceptual belief as one that is immediate, or, as he puts it, in which there is no difference between the awareness that is the instrument of true belief and the awareness limited by the beliefs content. (In an inference, a mediate awareness, there is such a difference since the awareness which is the true inferential belief is a different mental act from the awareness by which we immediately grasp the thing to be inferred.) This notion of Dharmarāja's is enunciated in his

DD4: $\text{Jñānagatapratyakṣa} = \text{df. pramāṇacaitanyasya}$ $\text{viṣayāvacchinnacaitanyābheda,}$[13]

which is also the force of my

PD7: $\text{Pratyakṣa}_{jct} = \text{df. Pramāṇa}_{jt} \cdot Q_{jct}.$

In the *Vedāntaparibhāṣā* Dharmarāja proceeds from a definition of the nature of a perceptual awareness to a definition (his fifth definition) of what it is for a content to be perceptible. As you can see from the list of his definitions, he first offers a relatively simple definition

DD5a: $\text{Viṣayagatapratyakṣa} = \text{df. (ghaṭāder) viṣayasya}$ pramātṛabhinna.[14]

and then, after having defined what *apramātṛ* is, he produces a more complicated and improved definition

DD5b: $\text{Viṣayagatapratyakṣa} = \text{df. svākāravṛttyupahita-}$ $\text{pramātṛcaitanyasattātiriktasattāśūnyatve sati yogya}$[15]

which makes use of a notion of relative grades of *sattā* or existence. I want now to develop this latter notion, of grades of existence, in order to arrive at the reconstruction of Dharmarāja's improved D5b.

Broadly speaking, the Advaita notion of grades of existence involves a comparative notion of "greater reality than," which I try to capture in PD8.

PD8: $\text{Realer}_{xy} =_{df.} (\exists z)(t)(L_{yzt} \cdot \sim L_{yxt} \cdot L_{xyt} \cdot \sim L_{zyt}$

This says that if two things are such that the second is located in (at, on) the first and not vice-versa, and there is some third thing such that the third thing is located in the second thing but not vice versa, then the first thing has greater existence—is "realer" —than the second thing. To take an example, Brahman has greater existence than the rope which we erroneously think to be a snake, since (according to Advaita theory) the rope is located in Brahman and the snake resides in the rope but not vice-versa.

PD9 and PD10 utilize this notion of grades of existence to introduce into the system the notions of the Unreal and the Real respectively. Something completely Unreal (*asat*), such as a hare's horn, or the son of a barren woman, is explained as that which has nothing that has either greater or lesser existence than it.

PD9: $\text{Unreal}_x =_{df.} \sim (\exists y)(\text{Realer}_{yx}).$
$\sim (\exists y)(\text{Realer}_{xy})$

This is because we are understanding *sat*, (*relative*) reality or existence, to belong to everything other than *asat*, which has no existence at all and thus cannot have more or less existence than something else. I capture this idea by appealing to the understanding of the primitive term "located," which must be taken to apply to only those things which are loci or are located at, in or on loci. *Asat*, the Unreal, is neither a locus nor located.

On the other hand, for something to be Real, that is, to have the highest grade of existence, is to be such that it has a higher grade of reality than something else and to be such that nothing has a higher grade of reality than it does.

PD10: $\text{Real}_x = \text{df. } (\exists y)(\text{Realer}_{xy}) \cdot \sim(\exists z)(\text{Realer}_{zx})$

Advaitins, of course, believe there is only *one* such thing, and that that is Brahman, the true Self. So we have now defined Brahman into the system.

Everything which is neither ultimately Real nor completely Unreal is termed *anirvacanīya* in Advaita. PD11 formulates that idea.

PD11: $\text{Anirvacanīya}_x = \text{df. } \sim(x \text{ is Real}) \cdot \sim(x \text{ is Unreal}).$

We are working toward a reconstruction of Dharmarāja's improved fifth definition. That definition contains one more notion that has not yet been defined. This is the notion of being *upahita*, i.e., of being qualified by an *upādhi* or merely accidental qualifier. Being *upahita* or accidentally qualified is to be contrasted with being *viśiṣṭa* or essentially qualified, i.e., with being qualified by a resident qualifier *viśeṣaṇa*) which, because necessarily residing there as part of the thing's nature, does of course qualify the thing in question. Dharmarāja's own definitions, DD14 and DD15

DD14: $\text{Viśeṣaṇa} = \text{df. kāryānvayi vyāvartaka (vartamāna)}^{16}$

DD15: $\text{Upādhi} = \text{df. kāryānanvayi vyāvartaka vartamāna}^{17}$

are stated very succinctly. A *viśeṣaṇa* or resident qualifier, he says, is one that demarcates a thing while residing in it, while an *upādhi* or accidental qualifier demarcates a thing while not residing in it. My PD12 and PD13 simply formulate these two definitions in my systematic reconstruction.

PD12: $\text{Viśiṣṭa}_{xyt} = \text{df. } L_{xyt} \cdot Q_{xyt}$

PD13: $\text{Upahita}_{xyt} = df \cdot \sim L_{xyt} \cdot Q_{xyt}$

Now we are ready to work on Dharmarāja's DD5b. It says that a content *c* is perceptible if (1) it is the kind of thing fit (*yogya*) to be perceived, and (2) it lacks any greater existence than the existence possessed by the subject (the *pramātṛ* of the perceptual awareness) apparently qualified by the form of *c*.

PD14: $\text{Perceptible}_{cjt} \, x \supset \text{Up}_{jct}x \cdot \sim \text{Realer}_{cj}$

PD14 reconstructs not the complete definition of perceptibility but only its second clause. The first clause of Dharmarāja's DD5b requires that the content in question be fit to be perceived, i.e., that it be the type of thing graspable by the relevant sense-organ, that it be present and not past or future, etc. These requirements are not general ones and will require very complicated predicates to allow their formulation, since we must introduce definitions of the various sense-realms in order to distinguish a visible per-ceptibilium from an audible one, etc. Goodman's system suggests how this might be done, but I shall not attempt it here.

Dharmarāja's twelfth definition illustrates how he uses epistemic concepts to derive ontological ones. The notion of an individual self or *jīva* is a fundamental one for Advaita. It can be defined given the vocabulary Dharmarāja has provided for us to this point. The definition is simple: an individual self is the consciousness which is actually qualified by "its" internal organ.

DD12: $\text{Jīva} = df. \text{ antaḥkaraṇāvacchinnacaitanya}^{18}$

("*Avacchinna*" here must be understood to have the sense of "*viśiṣṭa*" in order to distinguish DD12 from DD13, below.) If we think of consciousness as a sort of liquid material which flows into and fills up whatever channels and containers are present for it, then we can

think of the internal organ as what limits consciousness, a "portion" of consciousness undergoes operations through a set of channels or tubes—the sense-organs and the mind—which direct consciousness in characteristic ways. This is not my analogy; it is Dharmarāja's himself. I quote a passage from the *Vedānta-paribhāṣā*:

> Here, just as the water of a tank, going out through a hole, and entering fields through channels, comes to have, even like those (fields), a quadrangular or other figure, similarly, the internal organ too, which is of the nature of light, going out through the sense of sight, etc. and reaching to the locality of contents like pot, is modified in the form of contents like pot. This…is called a psychosis (*vṛtti*).[19] (S.S. Suryanarayana Sastry translation, Adyar Library 1942, p. 13)

Dharmarāja says that consciousness is residently qualified by its internal organ since the internal organ is a constitutive feature of the individual consciousness, that is, the *jīva*. I reconstruct this as:

PD15: $\mathrm{J\bar{i}va}_{jt} \ = \ \mathrm{df.} \ (\exists x)(\mathrm{Ant}_{xjt} \cdot \mathrm{Vi\acute{s}i\d{s}\d{t}a}_{jxt})$

He distinguishes the individual consciousness, the *jīva*, from what he calls the *jīvasākṣin*, the individual witness, which he defines as the consciousness which is only accidentally qualified by its internal organ.

DD13: $\mathrm{J\bar{i}vas\bar{a}k\d{s}in} \ = \ \mathrm{df.} \ \mathrm{anta\d{h}kara\d{n}opahitacaitanya}^{20}$

PD16: $\mathrm{J\bar{i}vas\bar{a}k\d{s}in}_{jt} \ = \ \mathrm{df.} \ (\exists x)(\mathrm{Ant}_{xjt} \cdot \mathrm{Upahita}_{jxt})$

The distinction between the *jīva* and the *jīvasākṣin* is this: The internal organ is, as Dharmarāja says, "of the nature of light," but it is not itself the source of that light. Rather, it is by nature unconscious, *jaḍa*, but reflects the light of pure consciousness. Being itself unconscious, the internal organ is not capable in itself being *about* anything. So the relation between consciousness and an internal organ is just that the internal organ residently qualifies consciousness, limiting it in such a way that it *constitutes* what we call that individual self. By contrast, when we speak of an individual selfs

being aware of something or other, we are identifying that self not through its constitutive character—that particular internal organ—but rather through its experiences, the contents it "witnesses," and since these contents are actually the contents of consciousness *per se*, and not the contents of the internal organ which differentiates this self, the witnessing self is being identified through an *upādhi*, through an accidental rather than a resident feature of it.

I have spent some time reconstructing Dharmarāja's earliest definitions, including most of his first 15 along with the 25th, the definition of sublation. In the *Vedāntaparibhāṣā* Dharmarāja goes on to define many more Ad-vaita concepts, including God, the critical relations of transformation (*pariṇāma*) and manifestation (*vivarta*), inference, memory, the nature of the pervasion that links the probans and the probandum in inference, the nature of falsity, various critical notions that play a part in the theory of sentence-meaning, the remaining *pramāṇas* such as comparison, presumption and nonperception, truth (*prāmāṇya*) and intrinsic truth (*svataḥprāmānya*), the two kinds of defining features of Brahman, the period between creative ages (*pralaya*), the stages of awareness such as waking, sleep and deep sleep, various moral qualities, and liberation itself. My hypothesis is that one can follow through the entire set of 84 definitions and reconstruct them along the lines I have illustrated, using just these atoms and primitives or perhaps a set of atoms and primitives even more economical than these.

There is one additional aspect which arises from this way of reconstructing Advaita, one which may have occurred to you as I developed by reconstruction. A Western reader confronting Advaita, especially post-Śaṃkara Advaita, for the first time and without the assistance of an imaginative teacher will, I think inevitably gain an impression of a theory which is almost entirely alien to his own common sense. This may or may not appeal to him—many

Westerners come to Indian philosophy searching for something alien which may *replace* Western common sense, with which they feel fed up or alienated from already. But whether it comes as a surprise or a relief, the concepts of Advaita as they are likely to come to the unprepared reader will sound very foreign. And as a result it will be difficult for him to be able to distinguish an understanding of Advaita that is confused from one that is accurate. If Advaita categories and concepts are *that* foreign to Western common sense, he may reflect, then what appears to me to be their apparent inadequacy, inaccuracy and incoherence is merely a result of his own inability to get into tune with Indian ways. Unfortunately, the result of this reflection may be that he becomes entirely uncritical about Advaita as a philosophical account, tolerating all sorts of philosophical abuses on the ground that he is in no position to criticize them. This, I think we must agree, would be unfortunate, especially if, as I think is the case, Advaita is put forward as a viewpoint which does in principle satisfy the criteria of adequacy, accuracy and consistency, etc., of which we have spoken.

It is very relevant to this point, then, that the systematic reconstruction of Advaita Vedānta—or at any rate, Dharmarāja's version of it— provides as atoms and primitive predicates terms which are easily understandable by the Westerner. To put it another way, by deriving Advaita notions from atoms and predicates that the Western reader can understand nonmetaphorically, he is provided with the tools to distinguish between what the Advaitin intends literally and what he offers only figuratively. A recurrent difficulty for a non-Indian reading translation of Indian philosophical texts is that he is regularly misled by connotations of the English terms used to translate Sanskrit technical terms, connotations which the Indian translator is only dimly aware of and which were in no way on the mind of the original author whose work is being translated. But by

reconstructing Advaita along the lines I have tried to illustrate, these connotations and metaphorical extensions are minimized, since every technical term is derived eventually from those few primitive notions that provide the basis for the reconstruction. To give examples: a term like "sublation," which is the common translation of the Sanskrit "*badha*," may appear queer and foreign to a contemporary English reader, for that word is now archaic in his language. But the definition provided by Dharmarāja and reconstructed by me explicates it as applying to any belief which was held but has come to be disbelieved, a familiar notion for which we happen to have no easy current term but which we can easily understand and apply. Likewise, say, with the notion of an "internal organ" (*antaḥkaraṇa*), a translation which may mean a variety of things to a variety of readers, but the definition of which in my reconstruction of Dharmarāja becomes intelligible and reasonably unambiguous.

This kind of clarification through systematization seems a necessary step on the way to a fair assessment of Advaita. The sample suggests the importance of attempting such a reconstruction even though one knows full well he lacks the means or the will to complete the task. As the reconstruction proceeds, along the lines I have proposed, the student will begin to formulate an assessment of the philosophy being reconstructed and whether it is worthwhile to continue the process. After all, a philosophy is something one wants for some purpose or other (or perhaps, for all purposes); once one becomes convinced that a given type of philosophy is helpful or unhelpful for one's purposes he will likely stop reconstructing and either get on with his purposes or try another system, as the case may be.

Though there may be one or more understandings in which Advaita becomes a mystical philosophy, that does not mean that it cannot be developed in a rigorous, systematic fashion. Indeed, that

was done, most noticeably by Dharmarāja. The brief examination we have paid to the system that results suggests that Advaita categories are surprisingly capable of representing a great deal about what we need to understand in order to retain (or gain) a conviction that liberation is available to one who wishes to obtain it. Whether it is the best, or the worst, of the several Indian philosophical systems—each of which attempts to serve the same purpose of grounding that conviction—depends on whether as one proceeds in the systematization one finds oneself unable to continue without flouting one or more of the fundamental criteria of success, adequacy, accuracy, etc. It has less to do with one's predilections for synthesis or analysis, for mystical or mysterious concepts as opposed to rational and rigorous ones, or any such antecedent prejudices. One may, to be sure, find or fail to find Advaita's language attractive, but that is superficial. The proof of its worth comes when one understands it in one's own ordinary language and tests it against relevant criteria in comparison with other candidates that propose to serve the same purposes. Though there is something to the notion that different cultures and linguistic communities have different conceptual schemes, that does not imply that the schemes are entirely incommensurate, does not imply radical cultural relativism. In this way we may hope to understand why Advaita, despite its apparently alien terminology and its uncompromising monism and spiritualism, has appealed so widely to intellectuals in India, and appears to do so still.

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[1] Dharmarāja Adhvarin, *Vedāntaparibhāṣā*, edited and translated by S.S. Suryanarayana Sastri. (The Adyar Library, Adyar, 1942). Hereafter abbreviated as "VP." References are to this edition.

[2] Nelson Goodman, *The Structure of Appearance*, (Harvard University Press, Cambridge, Mass., 1951; Second Edition 1966, Bobbs-Merrill; Third Edition 1977, D. Reidel). Hereafter abbreviated as "SA." Page references below are to the third edition.

[3] Nelson Goodman, *Problems and Projects* (Bobbs-Merrill Company: Indianapolis, 1972), p. 16.

[4] Rudolf Carnap, *Die Logische Auflau der Welt* (Berlin Schlachtensee: Weltkreis-Verlag, 1928). An English translation by Rolf A. George was published in 1967 from the University of California Press, Berkeley, California.

[5] SA, Chapter 5.

[6] SA, p. 48.

[7] Goodman discusses the problem in SA, Chapter III and several articles, some of them collected in *Problems and Projects*, op. cit., 279–355.

[8] Willard van Orman Quine, *Methods of Logic* (Henry Holt: New York, 1950, 1959).

[9] VP, p. 46.

[10] VP, p. 3.

[11] VP, p. 12.

[12] VP, *ibid.*

[13] VP, *ibid.*

[14] VP, p. 20.

[15] VP, p. 25.

[16] VP, p. 30.

[17] VP, ibid.

[18] VP, p. 29.

[19] VP, p. 13.

[20] VP, p. 30.

KISOR CHAKRABARTI

THE NYAYĀ-VAIŚEṢIKA THEORY OF UNIVERSALS

I. STATEMENT OF THE THEORY

The Nyāya theory of universals is unambiguously realistic and its realism is evident from the way a universal (*sāmānya* or *jāti*) is defined. A universal is defined as "an entity that is eternal and inseparably inherent in many entities".[1] Since a universal is an eternal entity that is present in many particulars, it is clear that a universal is conceived to have an ontological status that is distinct from and independent of that of the particulars themselves. Thus in the Nyāya view there is an identical cloth-ness in all pieces of cloth, an identical humanity in all human beings; and the entitative status of these universals is not affected by the origin and destruction of particulars to which they may be related.

The relation between a universal and its particulars (called *samavāya*, which for want of anything better, we have translated as the relation of 'inseparable inherence') is held to be of a unique kind and sharply distinguished from ordinary relations like that of contact (*saṃyoga*) between two substances, relations of magnitude (*parimāṇa*), spatial and temporal relations, etc. This relation is held to be an 'inseparable relation' (*ayutasiddhavṛtti*) in the sense that one of the two relata, viz., the particular, has necessarily to remain related to the other relatum, viz., the universal, until it is destroyed. The necessity and inseparability of the relation is, therefore, only in one

direction and not in both directions; and in fact it has been specifically mentioned that a universal would persist, even if all objects belonging to the class happened to be destroyed.[2] There is no reason to confuse this relation with an internal relation as has been done by modern interpreters[3], because the necessity of the relation is only in one direction and not in both directions.

As for the evidence in justification of the above theory, one common argument is derived from 'the notion of sharing a common character' (*anugatapratīti*). Thus in the Nyāya view, though individual human beings differ from one another in innumerable respects, we discern a common element of humanity running through all of them, though it may not be always possible to specify in words what that common element is. It is argued that in the absence of any compelling evidence to the contrary, such knowledge of identity (which presumably is present in every human mind) has to be regarded as true, whence the admission of universals as real entities becomes necessary as the objective basis of such knowledge of identity. On the ground of this knowledge of identity, we classify objects (in a broad sense) into different natural kinds, e.g., man, horse, colour, sound, etc. Without the admission of universals, such classification has to be regarded as ultimately arbitrary and conventional.

A second argument concerns the significance of general words in our language. A general word like 'horse' or 'colour' refers to an unlimited number of objects and an explanation is needed as to how a word is capable of doing so. An explanation may be found if universals are admitted to be objectively real. A distinction has to be made between the *śakya* or denotation and *śakyatāvacchedaka* or connotation[4] of a word. Then it may be said that a general word connotes a universal and it is able to denote an unlimited number of objects, because the universal is present in all of them. Without

admitting universals it would be difficult to explain how the relationship between a word and the unlimited number of objects it may denote happens to be established.[5]

A third argument concerns the justification of causal laws. The statement of a 'causal law' (*Ẓāmdnyakāraṇatā*) implies that every object of a certain kind (and nothing else) is the cause of a particular kind of effect. Thus when we determine fire to be the cause of smoke what we mean is that all fires (of a certain kind) are causes of smoke and that nothing but fire is the cause of smoke. As the Nyāya would say, 'the property of being the cause of smoke' (*dhūmakāraṇatā*) is possessed by all fires and by nothing else. But how should we explain (from the philosophical point of view) the fact that all objects of a certain kind become the cause, and nothing else becomes the cause? According to the Nyāya, the only way to explain this rationally is to suppose that all those objects share a common characteristic by virtue of which they can become the cause, and since this characteristic is not possessed by other kinds of objects, they do not become the cause. The admission of such common characteristics shared by many objects, however, amounts to the admission of universals.[6]

A fourth argument, closely related to the previous one, concerns the justification of 'inductive generalisation' (*vyāptigraha*). A causal law is a general statement which involves a generalisation from the observation of a limited number of particular instances. The problem is to justify the 'inductive leap' from the observation of a limited number of cases to the generalisation which covers not only cases observed, but also all possible cases, past, present and future. It is argued that a solution to the 'problem of induction' is found by admitting universals as real entities. Then it may be said that from an observation of particular instances we are able to see the connection between the universal properties involved; and the generalisation to

all cases would be justified, because identical properties are present in all cases.[7]

On the basis of the arguments (rather superficially) outlined above, the Nyāya considers it necessary to admit the existence of universals as objectively real entities which are distinct from, and independent of, particulars themselves. The range of universals admitted to be objectively real is rather comprehensive. There are first of all what may be called generic universals, i.e., universals whose instances are individual substances (*dravya*), for example, man, horse or stone. There are, secondly, the qualitative universals, i.e., universals whose instances are qualities (*guṇa*), for example, colour, sound or shape. The notion of quality (*guṇa*) is very broad in Nyāya metaphysics. Thus in addition to ordinary qualities of physical objects, there are qualities of the 'soul', such as pleasure, pain, desiring, hating etc., and there are universals corresponding to these qualities as well as to physical qualities. Moreover, many relations, such as relations of magnitude (*parimāṇa*), the relation of contact (*saṃyoga*) between two substances, e.g., the book is *on* the table, relations of spatial or temporal proximity or distance etc., are brought under the head of qualities; and universals pertaining to them are also admitted to exist. Thirdly, there are universals pertaining to motion (*karma*), such as contraction, expansion, etc. Russell[8] has noted that though philosophers have recognised universals named by adjectives and substantives, those named by verbs and prepositions have been usually overlooked. A look at the above list will show that this complaint certainly could not be brought against the Nyāya theory.

With respect to extension, universals are classified into three kinds.[9] There is first the universal of largest extension (*parasāmānya*), viz., existence (*sattā*) in which every other universal is included. There are, secondly, universals of smallest extension (*aparasāmānya*), e.g., cowness, horseness etc. in which no other universal is included. Most

universals, however, are such that while they are included in universals of larger extension, they themselves include universals of smaller extension within them. For example, the class of animals is included in the class of substances and itself includes classes like man, horse etc. within it. This classification corresponds exactly to the Aristotelian view that except for the highest genus (*summum genus*) and the lowest species (*infimae species*), whatever is a species is at the same time a genus and whatever is a genus is also a species.

Further light may be thrown on the Nyāya theory by comparing it with similar theories in Western philosophy. The Nyāya theory should be clearly distinguished from the *Ante Rem* or Ideal theory of the Platonic type. According to the latter theory, Ideas or Forms which are the reality behind natural objects, exist eternally in the world of Being and have their shadowy manifestations in the world of Becoming. We know the ultimate Forms by *a priori* intuition and so are able to recognise their incomplete manifestations in sensible things. In the Nyāya view, however, particulars are as much real as universals themselves, and the relation between the former and the latter is that of 'inseparable inherence'. On this point the Nyāya theory is much closer to the Aristotelian theory. Thus, like Aristotle, the Nyāya would deny that there is (as stated in the tenth book of Plato's Republic) an unseen and eternal bed, or quintessential bedness, by participation in which any bed becomes a bed; but still would hold, like Aristotle, that there is an identical bedness in all beds, an identical humanity in Smith, Brown and Jones, and the relation between such identities and particulars to which they belong is not merely accidental, but necessary (in the sense specified above).[10]

Moreover, Aristotle distinguishes between primary and secondary beings (substances) and holds that though an individual man or horse is a primary being, the species man or horse is a secondary

being. Thus the universal, for Aristotle, could not exist as an individual, a primary being, exists. The individual cannot be repeated, and cannot be common to many. Consequently, that which is universal and common to many cannot *be* in the sense in which the individual is. Turning now to the Nyāya theory we find that a distinction is made between *sattā* and *bhāvatva*, which may be translated as 'existence' and 'being' respectively. It is held that though universals have *bhāvatva* or being, they do not have *satta* or existence; while particulars have both 'being' and 'existence'. The distinction between 'existence' and 'being' is not at all clear and would require careful research to be spelled out exactly. But one thing that is clear is that though universals and particulars are both real, Nyāya is making a distinction between the ontological status of the two, a distinction which is a permanent part of Aristotle's teaching. It may also be noted that Russell[11] distinguished between 'existence' and 'subsistence' and held that while particulars exist, universals subsist or have being, where subsistence is opposed to existence as being timeless.

For Aristotle, however, a universal is an abstraction and therefore non-sensible. Both it and its relations are apprehended by reason. (In Plato's view also Ideas or Forms are non-sensible and can be grasped only by *a priori* intuition.) But in the Nyāya view most universals (with the exception of universals like 'atomness', 'soulness' etc.) are known through sense perception. Thus in the Nyāya view, when three different pots are presented together in perception, we may observe that all of them share a common character, viz., pot-ness. The Nyāya does not deny that dispositional elements are present, both in the recognition of the common character and in the observation that two or more objects have the same character. But in either case, none of this makes the discovery less of a discovery. Again, in the sense of singling one element out of what is given, abstraction is

necessarily present in the discovery of a common character like colour. We concentrate upon the colour in noticing that the colour in three different objects is one and the same, and single it out for observation. But such observation does not involve abstraction in another sense, viz., framing an abstract complex idea. In the Nyāya view a universal is not an abstraction in the latter sense, and this is true not only for qualitative universals like colour, sound, etc,, but also for generic universals like horseness and cowness. Thus cowness is a simple, indivisible element that is present in every cow and is directly apprehended at the moment an individual cow is perceived. The Nyāya view on this point is quite uncompromising; the reason behind this view is that predicates such as 'cow', 'horse', etc. are regarded as simple and unanalysable, as are qualitative predicates like 'red', 'blue', etc. In fact in the Nyāya view it is only a simple predicate that could name a universal. If a predicate were complex and made out of simpler concept, it could not name a universal because the universal is a unitary entity devoid of any parts. Thus cowness is not a complex idea formed by putting together the common features of different individual cows. On this point the Nyāya view is diametrically opposed to the Lockeian view that general ideas such as 'cow', 'man', etc., are framed through a process of conceptual combination. As already said, if a general idea is formed through a process of conceptual combination, then in the Nyāya view, it cannot be the name of a universal. On the other hand cowness, humanity, etc. are simple properties and discovered directly through sense perception.

This also shows how different the Nyāya view is from the Aristotelian view regarding the relation between a genus and its species. In Aristotle's view the essence of the species man, for example, is constituted by the genus animality together with the specific difference rationality. Thus in Aristotle's view the relation

between a genus and its species is necessary, the genus constituting a part of the essence of the species. In the Nyāya view, however, both humanity and animality are simple concepts. The relation between the two is not necessary in the Aristotelian sense, because animality is not a part of the concept of man.

This difference has resulted in a basic difference between the theories of definition of Nyāya and Aristotle. In Aristotle's view a definition must be the statement of essence, the statement *per genus et differentiam* In the Nyāya view, such essential definition of terms like cow and man is impossible. On the other hand, according to the Nyāya, a definition is the statement of a 'unique characteristic' (*asādhāraṇadharma*), i.e., a characteristic which is present in every member of the class of objects to be defined and not present in anything else.[12] The genus is never included in a definition since a genus is not a unique characteristic in the above sense. Moreover, such a unique characteristic does not have to be essential in Aristotle's sense, but may very well be accidental. For example, cow is defined as that which has a dewlap. Now dewlap is a unique characteristic of cows in the sense specified, and hence this definition is satisfactory from the Nyāya point of view. But a dewlap is still an 'accident' and hence for Aristotle this definition is not satisfactory. In Aristotle's view the aim of a definition is to state what the definiendum really is. In the Nyāya view the aim of definition is much more modest. The aim is to differentiate the definiendum from everything else and be able to use words unambiguously. Both of these two aims are fulfilled by the statement of a unique characteristic.

Another peculiarity of the Nyāya theory must now be stated. To a Western realist a quality is a repeatable character, such as the colour blue. Nyāya, however, distinguishes between particular qualities (*guṇa*) which are not repeatable and common qualities which are

repeatable. Thus each blue substance is connected with its own blue colour which is not shared at all and is as particular as the substance itself; all these distinct blue colours are connected in turn to the shared universal blueness. Just as there is a class of men so there is a class of 'blues' and the members of this class are not blue substances, but the distinct blue colours themselves. A similar distinction is made for relations. There are relation-particulars as well as relation-universals; and relation-universals have as their members the relation-particulars and not the relata themselves. It may be noted that whether qualities and relations of particular things are particular or universal is a controversial question in contemporary philosophy.[13] The Nyāya position in this controversy would be that in one sense all qualities and relations of particular things are also particular. But particular qualities and relations may themselves be classified under common qualities and relations and these latter are all universal.

II. OBJECTIONS TO THE THEORY BY OTHER SCHOOLS

The Nyāya theory of universals came under serious criticism from many other schools of Indian philosophy; criticisms often followed the pattern of criticisms of realistic theories in Western philosophy. The Nyāya argued that different individuals are known to be identical in certain respects and universals must be admitted as the basis for this knowledge of identity. The Sāṁkhya challenged what is being assumed in this argument, viz., that different individuals are known to be identical in certain respects. It was objected that different individuals are not known to be identical but only known to be similar in some respects. Three different pots may be known to be similar to one another because all of them have a similar colour, say, red. And the colour in respect of which these are similar is also not

the identical colour in all of them. The colour of the first pot is as particular as the pot itself and is only similar to the colour of the second pot. At this point it was held by Salikanatha[14] of the Mīmāṃnsā school that what different individuals really have in common is similarity or resemblance. Hence it is enough to admit resemblance (*sādṛśya*) itself as a distinct entity and thus get rid of the innumerable universals hypostatised in the Nyāya theory.

The controversy of similarity vs identity was carried on indefinitely and we will only briefly indicate how the Nyāya defended its position. It was argued that mere similarity is not enough because "individuals of different kinds are also known to be similar".[15] The point here is that 'belonging to the same class' or 'being of the same kind' is a much stricter notion than being merely similar. For example, a chimpanzee may be said to be similar to an orangutang, but it would be improper to say that the same relationship holds between a chimpanzee and another chimpanzee. It is also unwarranted to regard similarity as a distinct entity, because similarity between two entities always reduces to their having certain characteristics in common.[16] When, however, we come to consider the common characteristics themselves, it goes contrary to experience to insist that these characteristics are merely known to be similar and not identical. Let us consider two pots having exactly the same shade of red. In such a case the redness in the first instance of red is experientially indistinguishable from that of the second instance of red. One may say that the first red is distinguishable from the second red, because they are after all in different places. But that is completely beside the point. Nyāya grants that as an instance of red the first red is different from the second. What is indistinguishable are not the instances of red, but what they are instances of. When we consider what they are instances of, we have to ask whether they are instances of the same shade or not? If they are not, the point is

irrelevant. If they are, then what makes them instances of the same shade must be the presence of that shade in each. To insist on mere similarity with respect to the shade is to insist on a difference that is not discernible and, therefore, has no empirical evidence to back it up.

The most persistent critics of the Nyāya theory were the Buddhists who pointed to a series of difficulties in the Nyāya theory. Granted that the universal is a distinct entity, it has to be asked whether it is present in a particular in its entirety or only in part. Neither alternative is acceptable. If the universal is present in its entirety in one of the particulars, it could not be present in other particulars. Nor can we say that it exists in a particular only in part, because it, ex hypothesi, is simple and partless. It may be noted that this objection is basically the same as that raised by Parmenides against the doctrine of Forms in the dialogue *Parmenides* of Plato.[17]

Again, if the universal is distinct from particulars, it becomes necessary to explain how the universal comes to be related to a new-born particular, e.g., a cow. We cannot say that the universal has moved from the place where it already existed to the place where the cow is born, because a universal is not a substance; and according to the Nyāya, only substances are capable of motion. Nor can we say that cowness already existed at the place where the cow was born, because then it should have been perceived there even before the cow was born. It is also not possible for us to say that cowness also originated at the same place along with the cow, because, by hypothesis, it is eternal. In a word, the admission of universals as distinct entities raises difficulties about the relationship between the universal and particulars.[18]

Moreover, the Nyāya argued that universals must be admitted on the basis of the notion of belonging to the same class. It was pointed

out that this argument is inconclusive, because there are cases where we do have the notion of belonging to the same class but no common simple character may be found to be possessed by all members of the class. For example, let us consider the class of cooks. As Ashoka Pandita said: "Though with reference to many individual cooks, there is a common notion of all of them being a cook, there is nothing which may be common to all of them."[19] Ashoka Pandita disposes of the suggestion that what individual cooks have in common is the act of cooking and shows by detailed analysis that there is no common simple character possessed by all cooks. Whatever may be the merit of the actual example chosen, the important point scored by the Buddhist is that if we could speak of the class of cooks without requiring a common character, why could we not do so with respect to other classes like man, horse etc.?

The Buddhists held that all that exist are particulars and that universals are nothing but 'conceptual constructions' (*vikalpa*). A radically different explanation of the significance of general words was also given. When we apply a general word, such as *cow*, to an individual cow, we do not mean that it is of the same kind as other cows. What we really mean is that it is different from everything that is other than a cow. By applying the word *cow*, we rule out the application of other words such as *horse, man*, etc. and differentiate the object from every non-cow. Thus a general word primarily has a negative meaning signifying 'differentiation from others' (*anyāpoha*) and not a positive meaning signifying 'belonging to the same class' as in the Nyāya view.[20]

The Nyāya replied that before we can differentiate cow from every non-cow, we must already know what is meant by *cow*. The concept of cow is part of the concept of differentiation from every non-cow and is logically presupposed by the latter. The Buddhist analysis of the meaning of general words does not succeed in dispensing with

the positive meaning of them, but rather confirms it. In fact the analysis is vitiated by circularity. As Jayanta remarks, "If the meaning of cow is to be ascertained through the negation of non-cow, circularity is inevitable. 'Cow' is to be ascertained through negation of non-cow, but negation of non-cow is possible only through an ascertainment of what cow is."[21]

As to the difficulties raised, the Nyāya position is that they are due to a misunderstanding of the nature of universals. When it is asked whether a universal resides entirely or partially in a particular, it is presupposed that a universal must reside either entirely or partially in a particular. But "Cowness is neither a substantial whole (*avayavī*), nor an aggregate; the word 'part' applies to members of an aggregate or to elements of a substantial whole; the word 'entire' applies to such members or elements when all of them are taken together without a remainder. Cowness is neither an aggregate nor a substantial whole; hence the words 'entire' and 'partial' are not applicable to it."[22] Thus by a subtle analysis the objection is removed by showing that the alternatives contemplated are not applicable to universals at all.

The other difficulty is also due to not realising the basic difference between a universal and a particular. A particular cannot exist at more than one place at the same time; but a universal, by hypothesis, is capable of residing at many places at the same time. So the natural thing to say is that a universal 'resides in all objects belonging to the class' (*svaviṣayasarvagata*). So the universal also resides in a new member that happens to be added to the class by being produced and there is nothing mysterious or problematic about it. When an object is produced, 'the sum total of causal conditions' (*kāraṇasāmagrī*) determines its nature and thus to which class it should belong or what kind it should be. So if somebody chooses to wonder how the relationship between a universal and a new member

of the class is established, the answer is that it is the causes producing the object that establish the relationship between it and the universal.[23]

As to the remaining objection the Nyāya firmly held to the position that the admission of universals for man, cow, etc., was justified on the basis of experience. Thus at the time of perceiving two individual men, we directly observe that both share the common property of humanity and this kind of direct experience cannot be nullified by an appeal to cases like the class of cooks. The Nyāya, however, conceded the point that there are cases where in spite of the 'notion of belonging to the same class', no universals could be admitted. We must distinguish between general terms such as *man, cow*, etc. which name universals and other general terms such as *cook, father*, etc. which do not name any universals. In fact the Nyāya held that before a universal is admitted on the basis of the knowledge of identity, we must ascertain that no violation has been made of any of the 'restictive conditions for universals' (*jātibādhaka*) to the discussion of which we now turn in the following section.

III. RESTRICTIVE CONDITIONS FOR UNIVERSALS

Granted that there are universals, an important problem for the realist is to determine whether there are universals answering to every common name, and if not, how the population of the world of universals can be limited to what is reasonable. This problem has figured prominently both in Plato's philosophy and in Nyāya. We may first briefly indicate Plato's position regarding this problem.

It is asserted in the *Republic*[24] that there is an Idea corresponding to every common name, but there are substantial grounds for doubting whether Plato ever seriously upheld this doctrine. There is first the question whether in Plato's view there are ideas

corresponding to. negative terms such as not-man, not-beautiful etc. Plato's view on this point is not altogether free from ambiguity. In the *Sophist* he seems to be saying that there is an Idea corresponding to not-beautiful as much as there is one corresponding to beautiful. But in the *Politics* he says in a definitive way that though terms like not-Greek, 'not-ten-thousand' stand for parts of the genera man and number, they do not stand for species of them, implying that there is no Idea of not-Greek or of not-ten-thousand. Secondly, in the *Parmenides*, upon being asked by Parmenides Socrates says that though he recognises Ideas of goodness, beauty, justice, etc., he is more hesitant about the recognition of Ideas of man, fire, water, etc. and that he definitely does not admit ideas of mud, dirt and hair. This is followed by Parmenides' remark that Socrates' refusal to recognise the latter Ideas is due to philosophical immaturity and that he should recognise them following the general principle. This exchange of opinion between Parmenides and Socrates indicates that though Plato found it necessary to admit ideas for ethical and aesthetic values, he was probably more doubtful about extending the theory of Ideas to such 'unpleasant' and 'trivial' things as mud, dirt, etc. It seems that the basic reason for the theory of Ideas was to provide an objective foundation for art and morality as well as an objective foundation for knowledge (which prompted admission of Ideas for mathematical objects). From this point of view Plato was doubtless less concerned with things like mud and dirt, because they are, after all, not objects of knowledge in the stricter Platonic sense of knowledge that is necessarily true. Thirdly, it becomes clear from the remarks of Aristotle that some Platonists held that there are Ideas only of substances and that there are no Ideas of such artificially produced things as house, ring, etc.

All this evidence suggests that according to Plato and some Platonists there is not a universal answering to every common name – a view very clearly and unambiguously upheld by the Nyāya. One basic restrictive condition as already mentioned is that a universal must be simple, i.e., it must not be analysable into other properties or property components. For this reason a general term like *cow* or *man* would stand for a universal, but not terms like *white man* or *black cow*. The latter terms represent 'complex properties' (*sakhaṇḍopādhi*) and do not name additional, ontologically distinct entities. That is to say, the property of being a black cow is not an additional entity over and above blackness and cowness, but is reducible to them. For the same reason negative terms such as not-man, not-red, etc., do not stand for universals. Any negation presupposes an idea of what is negated and hence cannot be regarded as simple. Moreover, many terms such as deafness, blindness, etc. which do not have the form of a negative term, but are negative in meaning, also do not stand for universals. (These terms are comparable to privative terms of Aristotelian logic.) Similarly, relative terms like father, brother, etc. cannot be said to stand for universals, because from the very nature of the case they cannot be regarded as simple.[25]

A second restrictive condition is that whenever a universal is admitted, the relationship between it and its particulars must be 'necessary' or 'inseparable' in the required sense. For example, let us consider the class of cooks mentioned earlier. Though we can speak of a class of cooks, 'cookness' or the property of being a cook is not a universal because the relationship between it and the individuals is not necessary, but accidental.

A third restrictive condition is as follows. Two universals may be so related that the first is included in the second, i.e., every member of the first is a member of the second, e.g., humanity and animality.

Again, two universals may be so related that neither is included in the other, e.g., cowness and horseness. It is held that in the latter case two such universals could not have any members in common; in other words, there must not be any cross-division or over-lapping of universals. So two universals may have some members in common if and only if the first is included in the second or vice versa.[26]

A fourth restrictive condition is that no universal can be admitted where the admission would result in violation of the essential nature of members. Thus no universal can be admitted to be shared in common by the so-called 'ultimate individuators' (*viśesa*) which are held to be self-differentiating and which are hypostatised to differentiate qualitatively indistinguishable atoms from one another. (Atoms cannot be held to be different from one another without such hypostatised individuators, because it would have followed by an application of the principle of identity of indiscernibles that atoms which are qualitatively indistinguishable are all one and the same.) Objects of the same kind can always be differentiated from objects of other kinds through their difference in kind. Thus a cow can be differentiated from a horse through the universal cowness possessed by the former and not possessed by the latter. If all ultimate individuators are held to be of one kind sharing a common universal, we would also have to hold that they could be differentiated from other entities through the universal possessed by them. But that would be contrary to the essential nature of ultimate individuators, viz., that they are self-differentiating. (It is also necessary to hold that they are self-differentiating. If we ask how an ultimate individuator can be differentiated from another ultimate individuator and postulate that they are distinguished from each other through another ultimate individuator, we would be hurried off into a vicious infinite regress.) Hence the admission of no such universal can be allowed.

According to a fifth restrictive condition, if two universals have exactly the same members, they are not two different universals, but one. For example, potness and 'conch-shell-like-neck-ness' (*kambugrīvādimatva*) are instantiated in exactly the same entities, viz., pots, and hence there are not two different universals corresponding to them, but one. It is obvious that this restrictive condition states what is basically the same as the thesis of extensionality for sets in modern set theory. This restrictive condition was introduced by Udayana, the last great logician belonging to the school of early Nyāya, and in all probability he is the first logician to have for*mūla,*ted the extensionality thesis[27] This restrictive condition, however, reflects an important change in the concept of a universal. While in the early Nyāya view a universal is understood as a class-property or a repeatable character, because of this restrictive condition a universal (*jāti*), for Udayana, comes to be regarded as a class in extension. In fact Udayana held that as an 'abstract property' (*upādhi*), 'conch-shell-like-neck-ness' is different from potness. This shows that Udayana distinguished between a universal (*jāti*) or a class in extension and an abstract property (*upādhi*), a distinction which is never made in earlier Nyāya philosophy. It appears that in Udayana's view corresponding to the same class in extension, there may be more than one abstract property, a view which is also upheld by many modern logicians.[28] In fact, in the process of discussing the restrictive conditions, Udayana threw new light on the problem of universals and opened up a whole new perspective as may be seen from the account of the following restrictive conditions.

A sixth restrictive condition is that no universal can be admitted to exist, the admission of which would lead to a vicious infinite regress. For this reason there can be no universal of which every universal is a member; for if we had any such universal, then, by hypothesis, we have a given totality of all universals that exist and all of them belong

to this big universal. But this universal is itself a universal and hence (since it cannot be a member of itself, because in Udayana's view no universal can be a member of itself) it too along with others must belong to a bigger universal and so on ad infinitum. What is said here has interesting analogues in modern set theory in which it is held that a set of all sets (i.e., a set to which every set belongs) does not exist. And the reason why the set of all sets cannot exist is similar to that given here, viz., that if such a set existed, it must itself belong to a still larger set and this process will be continued ad infinitum; so that in a certain sense it must be larger than itself, which is a contradiction.[29]

Udayana of course has no objection to infinite regress as such, but does object to infinite regress of a certain kind which he considers to be vicious. An infinite regress is vicious if it makes the 'basis of the regress' (*mūla;*) impossible. Thus the infinite regress arising in the case of the universal of all universals is vicious, because what the regress essentially proves is that we could never have such a universal of all universals. There are other cases of infinite regress which are not vicious in the above sense. For example, if one asks whether the tree is the cause of the seed or the seed is the cause of the tree, one would find oneself thrown into a regress that is unstoppable. This regress is not vicious, because in this case the regress starts only after supposing that the tree or seed already exists. The situation is different with the universal of all universals. Here we could not suppose that it already exists because the very concept of a universal of all universals commits us to an infinite regress. In fact if we could suppose that the universal of all universals already exists, the regress would not have started at all.[30]

A seventh restrictive condition is that no universal can be admitted where the relation of 'inseparable inherence' (*samavāya*) between the putative universal and its members could not be admitted to be

possible. We know that the relation between a universal and its members is called the relation of 'inseparable inherence'. We could ask whether there is a universal which has inseparable inherence as a member, and the answer is said to be no. The reason why the answer is no is that the relation of inseparable inherence could not be admitted to be possible between the universal and inseparable inherence itself. For suppose that the relation of inseparable inherence is possible in a given case. Then we have to suppose that inseparable inherence is related to the universal by inseparable inherence. But the latter is also a member of the universal and hence it also must be related to it by inseparable inherence and so on to a vicious infinite regress. The vicious infinite regress makes the admission of the relation of inseparable inherence impossible in the given case and that in turn rules out the admission of the universal. It is probable that there are cases where the delation of inseparable inherence would be impossible for reasons other than vicious infinite regress and probably that is why this restrictive condition has been stated separately as an additional restrictive condition and not a sub case of the previous one.

On this point too we can see an interesting parallel in modern set theory. The relation between a set and its elements is the relation of membership. As it was asked whether there is a universal whose member is inseparable inherence, so it may be asked whether there is a set whose member is membership and the answer is no. This set may be expressed in set-theoretical terms as the set of all ordered pairs $<x, y>$ such that $x \in y$, which may be written with the standard notation as follows: $\{<x, y> \mid x \in y\}$. Assuming that this set exists, we can talk about its domain D: $D\{<x, y> \mid x \in y\} = \{x \mid \exists y (x \in y)\}$. But given any set x, it is a member of some set, e.g., $\{x\}$ From this it follows that $\forall x \exists y (x \in y)$; from which it follows that $\forall x \, x \in D$.

Thus *D* is proved to be the universal set which as already seen in the discussion of the previous restrictive condition, could not exist; and hence it follows that the above set also could not exist.

Finally, a property that could not be instantiated in more than one object is not a universal. The very basis of admitting a universal, viz., the notion of belonging to the same class, is impossible in such a case. For example, *diktva* or spaceness is not a universal, because space is one and infinite, and hence the property spaceness is instantiated only in one object. Spaceness, however, is a 'simple property' (*akhaṇḍopā*) and like a universal is held to a real entity not ontologically distinct from its locus, viz., space.

By implication a property which could be instantiated in no objects at all is also not a universal; and precisely for the same reason as above, viz., that the notion of belonging to the same class is impossible in such a case. For example, general terms such as 'rabbit's horn', 'son of a barren mother', 'turtle's hair', etc., do not represent universals. Udayana devoted considerable attention to the analysis of such 'non-referring expressions' and at the risk of a slight digression we may briefly state the gist of it. We may begin with an examination of statements like 'the rabbit's horn does not exist'; in nine out of ten cases the subject term of a sentence denotes an object. But to hold that the subject term of our sentence denotes an object is clearly unsatisfactory, because the very meaning of the sentence is that there is no such object as a rabbit's horn. Again let us consider the statement 'the rabbit's horn is not sharp'. It may seem that the statement is true; since the rabbit's horn does not exist, it is false to say that it is sharp and hence the statement that it is not sharp ought to be true. But Udayana points out that both the statements 'the rabbit's horn is sharp' and 'the rabbit's horn is not sharp' are false and proper analysis will show that there is nothing paradoxical about it. The statement 'the rabbit's horn is sharp' is

much more complex than it may apparently seem and ought to be analysed as follows: 'the rabbit exists, the horn exists, the horn is sharp and the rabbit possesses the horn'. Now it is clear that the statement is false, because one of the conjuncts, viz., that 'the rabbit possesses the horn' is false. For the same reason the statement 'the rabbit's horn is not sharp' is also false. Similarly, the statement 'the rabbit's horn does not exist' should be analysed as 'no rabbit has a horn' in which case the apparent difficulty of not finding any denotation for the subject term is removed.[31]

It should be noted that this analysis of 'non-denoting expressions' is remarkably similar to that of Russell.[32] Russell also held that both the statements 'the present king of France is bald' and 'the present king of France is not-bald' are false and gave a similar analysis of these two statements. Russell rejected[33] Frege's view that definite descriptions always have denotation on the ground that this creates problems for expressions like 'the present king of France' where the denotation appears to be absent. Nyāya, likewise, would not' subscribe to the position that all definite descriptions are denoting expressions. In the Nyāya terminology a definite description like 'the son of Yajhadatta' stands for a 'complex predicate' (*sakhaṇḍopādhi*). The expression of a complex predicate is a denoting expression when every component of it is the name of a real entity. Thus in our example 'the son of Yajñadatta' is a denoting expression, because every component, viz., 'son', 'Yajñadatta' and the relation 'of, is the name of a real entity. But 'the rabbit's horn' is not a denoting expression, because one of the components, viz., possession of horn by rabbit, is not the name of a real entity.

We may now bring together the results we have so far obtained. There are first of all terms like man, cow, etc., corresponding to which there are universals which are ontologically real entities distinct from individual objects. Secondly,there are terms like spaceness, etc.,

corresponding to which there are no universals, but are called 'simple properties' which are also ontologically real and distinct from their loci. Thirdly, there are terms like 'black cow', 'white man', etc., which represent complex properties and do not stand for any new, additional universals over and above those represented by their simple components. The peculiarity of the Nyāya view is that both indefinite descriptions like 'a Brahmin from Kashi' and definite descriptions like 'the son of Yajñadatta' are thrown into the class of complex properties. Fourthly, there are terms like 'rabbit's horn', 'son of a barren mother', etc., which, unlike those listed above, are 'non-denoting expressions'. Finally, there are terms like 'the universal of all universals', 'the universal whose member is inseparable inherence', etc., which could not represent any universals because of the special difficulties involved.[34]

To conclude: We have seen that the Nyāya and Vaiśeṣika believed that universals are real entities ontologically distinct from particulars and inseparably inherent in them. The distinctive feature of the theory is that universals are held to be simple as well as sensible. Another distinctive feature is an elaborate study of various restrictive conditions that prevent the admission of universals answering to every common name. Our discussion shows that though one may not necessarily agree with either the main tenet of the theory or specific conclusions drawn on particular points, as a theory it is worked out extremely well to minute detail requiring subtle philosophical analysis. For all these reasons the Nyāya-Vaiśeṣika theory should be regarded as an interesting counterpart of the theories of universals in Western philosophy.

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NOTES

[1] See (20), pp. 51 – 2. The number in parentheses refers to the number of the entry in the bibliography. Though the theory of universals presented in the paper was developed by the Vaiśeṣika as much as by the Nyāya school, we have avoided writing down the word Vaiśeṣika every time a reference to the Nyāya view has been made.

[2] See (20), p. 59.

[3] See (8), section on *samavāya*.

[4] We have used the word connotation for the want of anything better. It should here be understood to mean 'the mode under which an entity becomes presented through the word' and is comparable to Frege's *Sinn* For Frege's view, see 'On Sense and Nominatum' reprinted in (2).

[5] The first two arguments have been concisely stated by Śrīdhara as follows: "… the nature of each object being different from others, how could there be knowledge of a common form in them (without the universal), and how could they be designated by the same word? (Without the universal) the relation of a word with the unlimited individual objects of a class could not be established." See (17), p. 32.

[6] See (15), pp. 80 ff.

[7] See (15), pp. 458 ff.

[8] See (12), p. 94.

[9] The classification is also often said to be twofold, viz., (a) the universal of largest extension and (b) universals with an extension smaller than that of another universal. Raghunatha of Navya-Nyāya, however, held that there is no universal of the largest extension like *sattā* or 'existence' in which every universal is included. See (20), pp. 59–60.

[10] Radhakrishnan writes: "The universals on this view, answer to the separate, suprasensual arch-typal forms. … Praśastapada's view is akin to Plato's realism, according to which sensible things are what they are by participation in the universal forms of Ideas which are eternal and self-subsistent." See (10), vol. 2, pp. 211–2. Our remarks show that such assimilation of the Nyāya view to Plato's view is a mistake.

[11] See (12), P. 100.

[12] See (20), p. 52. A definition must be non-circular and free from the defects of being too wide, too narrow and impossible. (Impossibility here means not applying to any definiendum at all.) A definition must also be 'simple' and avoid superflous qualification.

[13] See (1), chap. IX.

[14] See (13), chap, on Pramāṇapārāyaṇa.

[15] "Mere similarity is not enough as held by Sāṁkhya, because individuals of different kinds are also known to be similar. ..." See (7), p. 204.

[16] See (20), p. 27.

[17] See (3), vol. VI, p. 215.

[18] See (17), p. 755. For a discussion of this and other Buddhist objections also see (15), chap. IX.

[19] See (16), p. 94.

[20] On this point the Buddhist view is comparable to Spinoza's view that all determination is negation. For a fuller account of the Buddhist view see (14), Introduction.

[21] See (4), p. 278.

[22] See (18), p. 669.

[23] See (17), p. 754.

[24] For the necessary references in this paragraph see (11), chap. XI.

[25] See (5), p. 73.

[26] For this and following restrictive conditions see.(4), pp. 73–7. This particular restrictive condition and the next restrictive condition were, however, rejected by Raghunātha see (20), p. 56.

[27] Udayana's date is held to be 10th or 11th century A.D. The author is not aware of any earlier logician who could be claimed to have formulated the extensionality thesis. For Udayana's date see (10), vol. 2, pp. 152–3.

[28] See (9), p. 88.

[29] See (6), p. 170.

[30] The distinction between an infinite regress that is vicious and an infinite regress that is not vicious is a very important logico-mathematical discovery and the author proposes to unravel the full significance of this distinction in a future paper.

[31] See (5), pp. 133–40.

[32] See Russell's 'On Denoting' reprinted in (2), pp. 108,112.

[33] See (2), p. 107.

[34] A very significant development that took place in post-Udayana Nyāya philosophy (usually known as Navyanyāya) was the generalisation of the concept of *upādhi* already introduced by Udayana. Navyanyāya logicians used the term *upādhi* to mean any class of

objects, irrespective of the number of objects in the class, irrespective of whether objects in the class shared a simple, common property, irrespective of whether the relation between the objects and the class was 'inseparable'. Everything that exists came to be regarded as an *upādhi* in this generalised senses It appears that the Navyanyāya concept of *upādhi* was a close approximation to the modern concept of a set A full discussion of the Navyanyāya theory of *upādhi* is, however, beyond the scope of this paper and has to be left to be the subject-matter of a series of papers in future.

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REVIEW ARTICLE

MORE THINGS IN HEAVEN AND EARTH

In his work, *The Problem of Universals in Indian Philosophy*,[1] Raja Ram Dravid has done an excellent job of locating and elucidating a large number of the major discussions of the problem of universals in the Indian tradition. In so doing, he succeeds in demonstrating that all of the major positions which are associated with the problem in the Western tradition – extreme realism, moderate realism, conceptualism, and extreme nominalism – are to be found as well in Indian philosophy. The picture which emerges from his account is that of an often heated debate in which the strengths and weaknesses of various approaches to the problem are thoroughly explored. Dravid's discussions of this debate reveal him to be possessed of a remarkable command of an extensive and widely varied literature. He has done other scholars in the field of Indian philosophy a great service by providing an illuminating guide to the relevant portions of a sometimes bewildering array of texts.

There are, nonetheless, a number of problematic areas in Dravid's work. In what follows I shall be focusing on these, not because I wish to belittle Dravid's accomplishment, but rather because I feel there are some important methodological issues here which require comment. The general question which informs my remarks is this: To what use should we put those materials on the problem of universals which we discover in the Indian tradition. This question arises in part

because it is not clear that Dravid feels there is much, if anything, which we can learn about the problem from the examination of these materials. T wish to suggest that a study of the Indian debate on the question of universals can play an important role in our attempts at understanding this issue, for instance by suggesting to us possible approaches which have not been extensively explored in the Western tradition. I shall confine my remarks to two issues: the status of qualities, and the possibility of a consistent extreme nominalism. On the first point, the consensus in at least the modem Western tradition is that if there are universals, these are of the nature of recurrent qualities. In the Indian tradition, on the other hand, it is assumed by realists and nominalists alike that the qualities of a particular substance are themselves particular. If there are universals, these form a category distinct from the category of qualities. Dravid takes exception to this presupposition, and I shall comment on the grounds of his rejection. Again, it is generally accepted in the modern Western tradition that a consistent radical nominalism is unattainable. Thus most modern forms of nominalism are variations on the theme of the resemblance theory. Within the Indian tradition, on the other hand, we find one school, the Yogācāra-Sautrāntika, devoting an immense amount of effort to the task of constructing an extreme nominalism which makes do without the relation of resemblance. Dravid finds the resulting theory, apohavāda, extremely implausible. I shall try to show that this theory is at least deserving of much closer scrutiny, and that it has not yet been demonstrated that the project fails.

Dravid points out that within Indian philosophy the possibility is never considered that there might be universal qualities or relations. In the Nyāya-Vaiśeṣika categorial scheme, qualities and relations have an ontological status different from that of universals, and qualities and relations are assumed to be particulars. While universals

may inhere in individual instances of red or contact (though not in the relation of inherence), redness and contactness are not to be thought of as themselves qualities or relations. It would seem that this doctrine set the tone for subsequent discussions of the problem of universals, all of which focus on the question, whether there are real entities which are common to certain classes of particular substances, qualities, and relations. Dravid clearly indicates that he finds this feature of the Indian examination defective. His own position is that we directly experience identical, recurrent qualities, relations, and resemblances. It is on the basis of such experience that we construct such general concepts as the concept of cow or the concept of red. Such distinct class essences as 'cowness' or 'redness' are, then, wholly superfluous (p. 347).

It is thus interesting to note that, in his discussion of some contemporary views on the problem of universals, Dravid takes strong exception to Stout's doctrine of the abstract particular. Of the latter's contention that the properties of a concrete particular are themselves particular, Dravid says, 'If it were true, then we could not assert of two things A and B that both are "red" or both are "round"' (p. 433). No evidence is given for this somewhat startling claim, and this is not surprising, for Dravid has already described two answers to the question how, if qualities are particulars, we could say of A and B that both are red: (1) Stout's answer, that there is a 'distributive unity' which determines the class of abstract particulars which are called 'red'; and (2) the Nyāya answer, that we perceive the universal redness in both the particular color of A and the particular color of B.

Dravid also accuses Stout of dogmatism on the point of the latter's insistence that the characteristics of a concrete particular are themselves particular. It is far from clear, however, that Dravid is not equally dogmatic in his own, oft-repeated, insistence that experience presents us with countless instances of identical, recurrent qualities.

He correctly points out that Stout's chief argument in defense of the theory of abstract particulars is inconclusive. This argument is that since any two concrete particulars A and B must themselves be locally separate, it follows that the properties of A and the properties of B must likewise be locally separate; from this it is said to follow that any property of A must be distinct from any property of B, since two entities can be said to be identical only if they have the same spatial location. Of course the conclusion does not follow, for while spatial location is among the criteria of identity for physical objects, it may well be illegitimate to employ this criterion in determining the identity of properties of physical objects.

Dravid's own position is on equally shaky footing, however. I take him to be saying that when, under ideal observation conditions, we are prepared to affirm that two objects A and B are the same shade of red, we must conclude that these qualities of the two objects are strictly identical. It is instructive to consider this situation from the perspective of radical translation, for then we shall see that Quine's indeterminacy thesis applies here as well. Suppose that we demonstrate to the speaker A and B, and receive an affirmative response to the query which we have established to correspond to the English, 'The same red?' Does this suffice to establish that the speaker accepts an ontology of recurrent qualities? There are any number of other possible accounts of what the speaker has assented to: 'A and B more nearly resemble the tail of a gavagai than they do any other particular;' 'The (particular) quality inhering in A and the (particular) quality inhering in B are both inhered in by redness'; and so on. Nor will more complete knowledge of the syntactical devices whereby individuation, demonstration and the like are achieved in the speaker's language suffice definitively to rule out any of these many translational variants. With sufficient ingenuity we can still attribute to the speakers of that language an ontology of resembling

particulars or of particular qualities and quality-universals, for accommodating devices can always be incorporated into other portions of our translation manual. And all of this applies, with equal force, to the home language as well. In general, for this as for other parts of ontology, experience underdetermines theory, and syntax and semantics provide nothing more than suggestions. When we employ the English locution, 'the same shade of red,' are we committed to the existence of a single quality which occurs in distinct particulars? Once again, it seems as if only a lack of ingenuity at providing alternative accounts of the structure of this expression leads us to suppose that we are so committed.

Perhaps Dravid's case is not quite as bad as I have made it out to be. He does, after all, provide some argumentation for his general position on the problem of universals, and it is possible that an argument could be constructed, from these materials, in support of his stand against quality particulars. In this case we would no longer be forced to view him as relying exclusively on appeals to experience and our linguistic intuitions. Thus he argues that extreme realism involves insuperable difficulties on such points as the relation of universal to particular (p. 458). He claims that extreme nominalism leaves unexplained our ability to use general terms in a non-arbitrary fashion (p. 459). Finally, he objects to an Aristotelian type of moderate realism, which accepts an ontology of subsistent class-essences (humanity, etc.), by bringing up the Lockean appeal to borderline cases (p. 460). One might then argue that we can account for our ability to employ general terms only by appealing to recurrent qualities and relations.

It is noteworthy, however, that among the relations which Dravid allows into his ontology is resemblance. This is done presumably to forestall the objection that many of the qualitative similarities which we experience are not instances of exact qualitative identity. Such a

position is inherently unstable, for on the one hand a Lockean objection, to the effect that the existence of borderline cases undercuts talk of qualitative identity, might be pushed here as well; and on the other hand, it might be urged that the concept of resemblance is derivative and eliminable in favor of qualitative identity. For instance, the existence of borderline cases might be taken to show that the divisions between those qualities which constitute the range of shades of red are so fine-grained as to be beyond the capacities of our perceptual apparatus to notice. In this case, what we take to be a single shade of red is in fact a set of discrete shades. This explains not only the existence of borderline cases but also our use of the notion of resemblance. We construct the pseudo-quality red out of discrete shade of red precisely because we take the occurrence of borderline cases as evidence for the existence of a continuum; and we then posit the relation of resemblance in respect of redness to account for the relations among the points of this apparent continuum.

Thus such a line of argument would seem to establish not Dravid's conclusion, that there are recurrent qualities and relations, but rather that our ability to employ general terms must be based either on real resemblances or on qualitative identities. Furthermore, it is far from clear that the denial of quality particulars follows from either of these alternatives. A resemblance theory can just as readily be constructed on the basis of an ontology which includes particular qualities as on the basis of an ontology consisting only of particular substances. One might favor the substance-based ontology on grounds of economy, but if we allow particular qualities into our ontology as well, this will at least have the result of simplifying the task of constructing resemblance classes. Suppose we choose, instead of the resemblance theory, to allow talk of qualitative identity. In this case the option is still open to us of treating qualities as individuated by

the substances in which they inhere (that is, treating quality -terms as degenerate mass-nouns), and explaining talk of qualitative identity by appealing to talk of co-inherence of quality-universals. Here again the principle of parsimony might be invoked against such a supposition, but it is possible that epistemological riches can be bought at the price of a little ontological heaviness. The notion that we can perceive a qualitative identity between two particulars is problematic, for we can always ask what it is about the constitution of A and the constitution of B which leads us to judge them as sharing an identical quality. When we ask this, we seem to be inquiring about the particular causal capacities of A and the particular causal capacities of B; it is no longer clear that we must be talking of an identical quality. If we take as primitive the notions of quality particular and quality universal, we may well be able to sort this all out.

Finally, Dravid would seem to be somewhat over-hasty in his rejection of extreme and moderate realism, and extreme nominalism. For instance, his rejection of moderate realism is based on Lockean considerations about the difficulties we encounter when we seek to classify borderline cases by means of natural kind terms. Presumably, this shows that the middle-sized objects of our acquaintance do not fall naturally into determinate classes, and thus that our classification of such objects into natural kinds is in some sense arbitrary. Hence, it is argued, these objects do not possess real essences. There is, however, a Kripkean objection to this line of argument, to the effect that our ability to use natural kind terms in modal contexts shows that such terms must be construed as rigid designators: The statement, 'Water is H_2O', while synthetic, is necessary, that is, true in all possible worlds. If this is correct, then the door is once again open to a doctrine of real essences for natural kinds. And once we allow substance universals into our ontology, there remains no obvious bar

to treating the qualities inhering in substances in a similar fashion, namely as particulars sharing a common essence. I am not myself sure of the strength of this Kripkean line of argument. It does seem clear, however, that if (as seems to be the case) Dravid's stand against quality particulars depends on his rejection of essentialism along with such other theories as extreme realism and extreme nominalism, then his own stance is not sufficiently defended by the Lockean borderline cases argument alone; further argumentation is required to establish the falsity of essentialism.

Dravid's rejection of the extreme realism of Nyāya-Vaiśeṣika and the extreme nominalism of Yogācāra-Sautrāntika seems likewise over-hasty. Here it would seem that extra caution is called for, as there is more at stake. We have been considering an argument which Dravid might use in support of his claim that qualities are not particulars, an argument in which the rejection of extreme and moderate realism and extreme nominalism plays a role. The question of the ontological status of qualities is but a part of the problem of universals, and perhaps one on which not a great deal hangs. We want to know as well whether there is good reason to abandon those theories which Dravid rejects, and it is possible that a close examination of the Indian materials will help us here. Now as it turns out, there is little on the question of essences in the Indian tradition that strikes us as novel. There is, however, a great deal that strikes us as new in the treatment of extreme realism and extreme nominalism. What I wish to suggest is that Dravid has missed the novelty here, and thus raises objections to the Indian versions of these theories which are inappropriate in that context. In fact, I suspect that we can learn a great deal about the strengths and weaknesses of extreme nominalism and extreme realism by considering them in their Indian formulations, for then we may see that certain of the stock Western objections apply only to special cases of these theories. In what

follows I shall attempt to show that Dravid's objections to the extreme nominaUsm of *apohavāda*, at any rate, misfire. In so doing, I hope to show how an examination of the Indian controversy may contribute to our understanding of the problem of universals.

Dravid begins his estimate of *apohavāda* by acknowledging the extent to which this theory is bound up with the metaphysics of Yogācāra-Sautrāntika; he appears to conclude from this that since the latter does not allow of direct disproof, the former can only be assessed in terms of relative adequacy to our experience. Immediately thereafter, however, he claims that in the absence of recurrent qualities and relations, conceptual cognition would be impossible (p. 340). This would seem to suggest that the metaphysical basis of apohavāda is not merely relatively inadequate to our experience, but quite strictly false to our experience. He then goes on to maintain that the principal issue at stake between the apohavadin and his opponent is whether the meaning of a word includes the negation of the opposite meaning. Dravid asserts both that the meaning of a positive word is felt as positive, and that the negation of the opposite meaning would be impossible if the word did not already possess a positive meaning (p. 342). He also finds the claim that absolutely unique particulars generate universal concepts 'quite unintelligible'. If the particulars are without any resemblances whatever, then it seems that the extension of a concept must necessarily be arbitrary (pp. 344–5).

There are, in addition to these, a number of other criticisms presented by Dravid, but these will suffice for our purposes. What I wish to suggest is that he would have done well to take more seriously some important differences between what is at least one of the major Indian conceptions of the philosophical enterprise and a certain modern Western conception of that enterprise. Dravid repeatedly insists that there are recurrent qualities and relations. On

this point he probably has the support of common sense. We do, after all, speak of a curtain and a tablecloth as having the same color. The testimony of common sense is not, however, entirely unambiguous, on this or on other questions of ontology. Thus what we seem to find quite frequently in Indian philosophy are attempts at constructing internally consistent ontologies in relative isolation from common sense, followed by the development of what we might call bridge theories, which are meant to show how our precritical intuitions may be reconciled with the details of the favored ontology. In Yogācārara-Sautrāntika we find on ontology of unique, spatially and temporally atomic particulars, the *svalakṣaṇas*. I would suggest that we look upon *apohavāda* as a sort of bridge theory, one which is designed to account for the facts of linguistic practice on the basis of such an ontology. If this suggestion is correct, then it is wrong to criticize the Yogācāra-Sautrāntika ontology until the details of *apohavāda* (as well as other bridge theories such as the theory of judgment) have been fully grasped. Nor is it at all germane to argue that the meaning of a positive word is felt as positive. Presumably, whether we feel the meaning of a word to be positive or negative will depend in large part on the theory we hold; and since the näive semantic realism of common sense would seem to suggest that the meaning of a positive word is positive, it is hardly surprising that this is our intuition. The relevant question to ask here is whether *apohavāda* can furnish an adequate explanation of this datum, given that there is no room for positive meanings in the *svalakṣaṇa* ontology. Again, it may well be our intuition that 'in the absence of a positive meaning the negation of the opposite meaning is inconceivable' (p. 342). It does not follow from this, however, that any attempt at accounting for this intuition which does not admit 'positive meaning' as a primitive notion is doomed to failure. Again it seems question-begging at best baldly to assert that two particulars can cause the occurrence of identical concepts only if the causal

capacities of the two are identical. It is among the tasks of the apohavādin to show that we need invoke neither real universals nor resemblances among particulars to account for determinacy of extension in our concepts; but in order to understand his strategy here, we must first examine his analysis of generality, for that analysis plays a key part in his approach to the question of the causal capacity of particulars. This approach may ultimately prove inadequate, but it would seem incumbent on us to make greater efforts to grasp the underlying analysis before we decide that the theory has failed in this respect.

What I am suggesting, in short, is that we view *apohavāda* as part of a translation manual, rather than as an independent semantic theory. The picture I have in mind is this. On the one hand there is the set of common-sense beliefs about the world; on the other hand there is a set of beliefs about a world populated only by *svalakṣaṇas*. A fully successful translation manual would give a truth-preserving translation of each member of the former set into some member(s) of the latter set. Of course such a translation manual should be written in accordance with the usual constraints on theory construction: The application of translation rules should be straight-forward and unambiguous; rules which appear to be entirely *ad hoc* are not to be admitted; other things being equal, the fewer rules the better; etc. Thus if we are presented with two rival ontologies, both equipped with similarly adequate translation manuals (where the criterion of adequacy is ability to generate truth-preserving translations for a maximum number of commonsense beliefs), we may judge between them on the basis of the extent to which their respective translation manuals embody these desiderata of theory-construction. On this view we are precluded, however, from taking any component of the translation manual in isolation and judging it on the basis of its adequacy to our experience.

I would claim that this is the chief problem with Dravid's evaluation of *apohavāda*. In criticizing certain fundamental theses of *apohavāda* on the basis of our intuitions about linguistic meaning, he suggests that he sees this theory as one which is meant to replace the common-sense view of language. I would suggest instead that the Yogācāra-Sautrāntika seeks to show that the common-sense view does not commit us to the existence of universals, i.e., that there is a plausible explanation of linguistic behavior which does not require a realistic ontology. What is called into question by his doctrine are not the facts themselves, but rather the use which certain philosophers make of them. What his doctrine is meant to show is simply that we can give an adequate explanation of our intuitions about language without engaging in ontological inflation: For every meaningful ordinary-language sentence, there is an apohist sentence of equivalent meaning but lacking commitment to the existence of abstract entities. Here the facts are the same, our intuitions go unchallenged; the only possible grounds for objection lie in the translation rules themselves.

My interpretation of the Yogācāra-Sautrāntika enterprise stands in need of defense. What I propose to do is offer an attempt at a rational reconstruction of some key elements of the doctrine of *apoha*, basing this reconstruction on the view sketched above of the underlying methodology of the school. What I hope to show is that viewing *apohavāda* in this way leads to an interpretation of the doctrine which is more plausible and less easily refuted than is Dravid's interpretation. Such an interpretation would, I believe, help to vindicate my view in that it would better accord with the principle of charity than does Dravid's treatment of the apohavada materials. The Yogācāra-Sautrāntika did, after all, maintain this doctrine for some six and a half centuries, and in the face of objections quite similar to those which Dravid puts forth. While it may be possible

that they were all quite uniformly dense, I think we would do well to explore other possibilities before we take this view of their philosophical abilities.

My reconstruction is based on the 'Śabdārthaparikṣā' chapter of *Tattvasaṃgraha* by Śāntarakṣita with the *Pañjikā* of Kamalaśīla.[2] This text is important for its discussion of the distinction between two types of negation, *prasajya-pratiṣeda* and *paryudāsa*. This distinction seems to have originated with the grammarians, and was employed extensively by the Mimāṃsakas in their analyses of Vedic injuctions. A standard explication of the distinction which is frequently cited in the literature is the following:

> Where there is subordinateness of the positive, primariness in denial,
>
> That is *prasajya-pmtiṣedha*, where the 'not' is attached to the verb.
>
> Where there is primariness of the positive, subordinateness in denial,
>
> That is to be known as *paryudāsa*, where the 'not' is [attached] to a subsequent term.

***Prasajya-pratiṣedha* we shall** refer to as verbally bound negation; and since by a 'subsequent term' is meant a noun or adjective, and adjectives and nouns tend to be treated similarly in Sanskrit, we shall call paryudāsa nominally bound negation.[3] Consider these two sentences:

(1)   An armadillo is not a rodent.

(2)   An armadillo is unhurried.

In (1) the negation may be said to be verbally bound; here the emphasis is on denial, not on something 'positive'. That is, an

utterance of (1) would ordinarily be taken to rule out the assertion that an armadillo is a rodent, but would not in general be taken to commit the speaker to the claim that the armadillo is some other sort of animal than a rodent. While such a claim might be among the implicatures that are generated by an assertion of (1) in certain contexts, it would be implausible to suppose this to be the principal intention of the speaker. By contrast in (2), which is an instance of nominally bound negation, the element of denial is subordinated to the element of commitment: An utterance of this sentence would more plausibly be taken as an assertion that the armadillo is the opposite of hurried, i.e., slow, than as a mere denial that the armadillo is swift, unaccompanied by commitment to any other characterization of its locomotion.

The general claim which is embodied in the grammarians' distinction between *prasajya-pratiṣedha* and *paryudāsa* is that any negation which has the syntactic feature of being verbally bound will have as its chief force a denial with at best a minimal level of commitment, and that any negation which has the syntactic feature of being nominally bound will have as its chief force commitment to some characterization of the subject. We shall not discuss the merits of this claim for the interpretation of Sanskrit, let alone for English. We shall, however, note in passing that if something like this distinction does underlie the use of negation in either language, then we should expect to find sentences which appear to violate the standard rule of double negation. And it seems that we do, for consider the sentence,

(3) What he did was not impolite.

If we construe the negative prefix 'im-' as a mere stylistic variant of straightforward negation, then (3) should mean the same as,

(4) What he did was not not polite.

By double negation, (4) yields

    (5)   What he did was polite.

It is clear, however, that (3) and (5) do not have the same meaning. The distinction between nominally and verbally bound negation helps us here. If we view the negative prefix 'im-' as an instance of nominally bound negation, and the 'not' as verbally bound negation, we see that in (3) both kinds of negation are present. We then realize that while the characterization of an action as impolite involves commitment to the claim that the action was rude, the denial, by means of verbally bound negation, of that claim does not involve commitment to any other characterization of the action; in particular, it does not involve commitment to the claim that the action was polite. It is for this reason that (3) and (5) differ in meaning.

One interesting feature of this distinction is the following: While verbally bound negation is a sentential connective, nominally bound negation operates only on sentential elements. Thus in (1) the 'not' produces the denial of the assertion, 'The armadillo is a rodent'. In (2), on the other hand, the negative prefix 'un-' operates only on the predicate 'hurried', yielding a new predicate which is asserted of the armadillo. The Naiyāyikas, for reasons having to do with their doctrine of cognition,[4] seek to construe all negations as operating an sentential elements. Thus the entire thrust of the Nyāya doctrine of absence is to show that in the case of a cognition corresponding to a negative statement, the negation may be taken as a component of the content of the cognition, and so should not be taken as a contribution of the cognizer. Given this motivation, the doctrine of absence has the consequence that *prasajya-pratiṣedha* negations take on a central feature of paryudāsa, namely commitment. Thus take the following case of *prasajya-pratiṣedha*:

    (6)   The pot is not an ashtray.

Here we seem to have a model case of denial without commitment to any positive characterization of the pot. On the Nyāya analysis, however, (6) becomes,

(7) The pot possesses a mutual absence, the counterpositive of which is ashtray.

Whereas (6) appeared to be the denial of an identity statement, (7) is clearly the attribution of a certain property to the pot. The possibility of so treating all negative statements suggests that not only nominally bound negation but verbally bound negation as well involves commitment to the existence of some property.

Śāntarakṣita and Kamalaśīla accept the Nyāya strategy, but not its consequences. They agree that negation should be construed as operating on sentential elements, not on sentences; in this respect the notion of *apoha* resembles that of an absence. They deny, however, that all negation involves commitment to the existence of some property; in this respect they maintain the distinction between *prasajya-pratiṣedha* and *paryudāsa*, though now both types are taken as having the same restrictions on scope.

According to Śāntarakṣita, there are altogether three types of apoha: paryudāsa apoha pertaining to mental images (*buddhi* or *pratibhāsa*), paryudāsa apoha pertaining to the *svalakṣaṇas*, and prasajya-pratiṣedha apoha (TS 1003). The first and second types both being paryudāsa, these involve the element of commitment: to say that a given entity excludes, in this fashion, other entities is to give a positive characterization of the entity; one is thereby committed to the existence of this exclusion as a property which takes the given entity as locus. In this respect, these two types of apoha resemble a Nyāya absence. The two kinds of paryudāsa apoha differ in two respects. The first and most obvious difference is that they operate on different sorts of entities, the first on *pratibhāsas*, the second on

svalakṣaṇas. What is excluded by the paryudāsa apoha of a mental image are other pratibhāsas and not svalakṣaṇas. This type of apoha has as its domain all the pratibhasas which might occur, as mental contents, to a subject. Apoha pertaining to the svalakṣaṇa, on the other hand, ranges over the domain of the reals, the *svalakṣaṇas*, forming exclusion classes from these. The second difference has to do with the size of an exclusion-class formed by an apoha. The paryudāsa apoha of a given svalakṣaṇa is the exclusion of all other svalakṣaṇas; but the same does not hold true of apoha pertaining to pratibhāsa. The exclusion class formed by the apoha of a given pratibhāsa contains most but not all of the other mental images which might occur. Those *pratibhāsa* which are not excluded by this apoha constitute, together with the given pratibhāsa, a set of images which correspond to the extension of a general term.

The last point is explained by way of the following analogy. The three distinct plants *abhaya, dhātṛ*, and *harītaka* are all known to possess anti-febrile properties. Ingestion of any one of these three plants produces, as a result, the abatement of fever. It is important to note, however, that this fact does not warrant the conclusion that the three distinct plants all possess the same causal capacity. We are justified only in concluding that each plant has the capacity to cure specific instances of fever, but not that there is some one causal property shared in by all three. By the same token, let us suppose that there are three mutually distinct *svalakṣaṇas*, each of which causes the occurrence of a distinct *pratibhāsa*. Each of these pratibhāsas, in turn, is such as to exclude the occurrence of a range of other pratibhāsas. That is, each pratibhāsa comes equipped, as it were, with its own paryudāsa apoha whereby it naturally generates an exclusion-class. Let us further suppose that each of our three original pratibhāsas generates the same exclusion-class, i.e., excludes the same particular pratibhāsas. It is then legitimate to speak of

these pratibhāsas as caused by svalakṣaṇas which form part of the extension of one general term, even though so far we have said nothing which would justify the conclusion that either the svalakṣaṇas or the pratibhāsas which are their effects possess a common essence (TS1004–5, 922).

One further step is required before we come to the apohavādin account of linguistic meaning. A central feature of the paryudāsa style of apoha is ontological commitment. To say that a svalakṣaṇa excludes all other svalakṣaṇas, or that a pratibhāsa excludes certain other pratibhāsas, is to give a positive characterization of the svalakṣaṇa or pratibhāsa, it is to assert that the entity is the locus of a certain property. This feature is absent from the prasajya-pratiṣedha style of apoha. Here we have instead a kind of exclusion which is an absolute rejection or prohibition, something which can perhaps be likened to the move in chess which consists of sweeping all the pieces from the board. In *tarka* (dialectics), *prasajya-pratiṣedha* represents the denial not only of the thesis which has been reduced to absurdity, but of the conceptual scheme which produced the thesis as well; it is a way of rejecting thesis without committing oneself to antithesis.[5] With prasajya-pratiṣedha apoha, exclusion does not involve commitment to any such property as the absence of the excluded. What results is rather the pure rejection of a proposed characterization. If such an apoha is to be thought of as at all an entity, it must be thought of as no more than a constructed fiction. As Śāntarakṣita puts it, such an apoha is neither positive nor negative, it is neither an existent (bhāva) nor an absence (abhāva). (TS 1188).

We may now proceed to the apohavādin account of linguistic meaning. Here we must bear in mind that for both Nyāya and Mīmāṃsā the meaning of a general term such as 'cow' will involve the notion of the universal, i.e., cowness. The Yogācāra-Sautrāntika,

of course, denies the existence of universals. His ontology, moreover, does not allow him to explain univocity in terms of real resemblances among svalakṣaṇas, for the latter are said to be absolutely unique. Thus he proposes the following analysis: The meaning of 'cow' is not non-cow. The key to this analysis lies, I believe, in the fact that the mental content 'not non-cow' is constructed with the use of two different types of apoha: the prefix 'non-' representing a paryudāsa apoha on pratibhāsas, and the particle 'not' representing a prasajya-pratiṣedha apoha on the former apoha. Let us use the dash to stand for paryudāsa, and the tilde to stand for prasajya-pratiṣedha. We shall consider a world consisting of six entities, s_1, s_2, ..., s_6. Each of these entities is the cause of a mental image, p_n, s_1 being the cause of p_1, etc. Suppose, moreover, that the following is the case:

$$- P_1 = \{P_4, P_5, P_6\}$$

$$- P_2 = \{P_4, P_5, P_6\}$$

$$- P_3 = \{P_4, P_5, P_6\}$$

That is, P_1, p_2, and p_3 form the same exclusion-classes; the occurrence of any one of these pratibhāsas prevents the occurrence of p_4, p_5, and p_6. We shall assume that S_1, s_2, and s_3 form the extension of 'cow' (where cows are thought of as simples), and that the subject has learned, through presentations of S_1 and s_2, the convention governing the use of the word 'cow': that this word is properly applied just in case a pratibhāsa occurs which forms the exclusion-class $\{p_4, p_5, p_6\}$. The subject is now presented with an occurrence of p_3, and responds with the statement, 'This is a cow'. How are we to explain this without invoking a universal as the meaning of 'cow'?

The suggestion is that we translate 'This is a cow' into apohist language as '$p_3 = \sim -p_3$' Our apohist sentence consists of three elements, namely 'p_3', '$=$', and '$\sim -;p_3$'. We shall comment on each in turn. The first presents no difficulties, since in this context 'this' clearly refers to the cause of p_3, and we need invoke no common property to account for the speaker's ability to identify p_3 as 'this'. The substitution of the identity sign for the copula signals a transformation of a subject-predicate statement into an identity statement. We shall defer discussion of this transformation for the moment. The crucial question is this: What are we to make of the expression,'$\sim -p_3$'? In particular, how is this meant to replace 'cow'? We know that $-p_3$ is just the exclusion class $\{p_4, p_5, p_6\}$. If the $\sim -$ function obeyed double negation, then substitution of the argument p_3 would yield the class $\{p_2, p_2, p_3\}$, as that portion of the domain which is not excluded by *apoha* on the exclusion class $\{p_4, p_5, p_6\}$. That is, $\sim -p_3$ would then be a real property which characterized the class $\{p_1, p_2, p_3\}$. We know, however, that the $\sim -$ function does not obey double negation. The prasajya-pratiṣedha apoha of the exclusion class $-p_3$ is an absolute rejection of the exclusion class as a characterization of p_3: p_3 is *not* to be thought of as belonging to that set of mental images which it by nature excludes. Now it happens to be the case that this exclusion class also fails as a characterization of p_1 and p_2. We might then think of $\sim -p_3$ as that which determines the class of cow-images, $\{p_1, p_2, p_3\}$. This is not to say, however, that there is some one thing which is common to p_1, p_2, and p_3; for there is no such thing as $\sim -p_3$. Here we must recall the central feature of prasajya-pratiṣedha apoha: denial without commitment to the existence of a property. In short, $\sim -p_3$ is the 'form' (*ākāra, ābhāṣa*) of p_3, that in virtue of which p_3 is correctly said to be a cow; but $\sim$

$-p_3$ is not a real. The expression '$\sim -p_n$' serves merely to identify that mental operation whereby the extension of a term is determined.

One may, of course, think of $\sim -p_n$ as the meaning of a term; but here we must bear in mind the fact that the question, 'What is the meaning of "cow"?' can be misleading, particularly if it causes us to suppose that there is some entity which answers to the description, 'the meaning of "cow"'. This question is answered satisfactorily by any theory which succeeds in explaining how we are able to apply the term 'cow' to just those things which are cows. The apohavādin purports to have done just this. If his account proves satisfactory, then what he has shown is that we can dispense entirely with the notion of meanings as entities: 'Linguistic meaning' is a mere convenient fiction.

I claim that the apohist translation of 'This is a cow' is '$p_3 = \sim -p_3$'. How is it that a subject-predicate statement is transformed into an identity statement? The first point to be made in this regard is that, strictly speaking, this identity statement is not true. For any n, p_n is not identical with $\sim -p_n$. In the present context, p_3 is the pratibhāsa or mental representation of s_3. $\sim -p_3$, on the other hand, is not the mental representation of any entity. Indeed the whole point of the distinction between prasajya-pratiṣedha apoha and paryudāsa apoha is to ensure that $\sim -p_n$ not be the same as p_n. The $\sim -$ function does not obey the standard rule of double negation. Śāntarakṣita's remark that an anyāpoha is neither positive nor negative (TS 1188) must be taken in this light. A second point, however, is that $\sim -p_3$ resembles nothing so much as it resembles p_3. As Kamalaśīla puts it in commenting on TS 1005, the $\sim -$ function yields an anyāpoha which 'contains the image of the object by means of the object-formness,

there is an awareness which has the appearance of the object by means of identity'. Again, Śāntarakṣita states that this is called 'anyāpoha' 'because of its being considered, by those who are confused about it by reason of identity, in the form, what is the svalaksana, that is the result of being distinguished from dissimilar things' (TS 1008ab). Kamalaśīla provides the gloss, 'Because of the apprehension by persons who are mistaken by similarity with the entity which is excluded from things which are dissimilar' (TSP 1006–8b). This appears to be a case of what is called 'non-grasping of difference' (*bhedāgraham*). The idea here would seem to be that s_3 is said to be a cow because its mental representation, p_3, is more easily believed to be identical with its anyāpoha, $\sim - p_3$, than with any other mental occurrent apart from p_3 itself. We might say that one makes the identification $p_3 = \sim - p_3$ by disregarding the fact that the $\sim -$ function does not obey double negation.

It might seem somewhat unsettling to discover that one's knowledge that this is a cow rests on what could be called a case of mistaken identity. This would hardly seem odd to the Yogācāra-Sautrāntika, however. On his view, any subsumption of a particular under a general term must involve falsification, since the real particulars are absolutely unique. One can think of s_3 as resembling s_1 and s_2 in respect of cowness only through a process of mental construction which significantly alters what is given to us in our perception of the svalakṣaṇa. The trick, of course, is to give an account of this process which allows for the possibility of successful practice in spite of the necessary element of falsification. The basic claim of the apohavādin is precisely that the $\sim -$ function, when applied to mental images, yields a construct which both picks out just those entities which are called cows, and explains our failure to

recognize that there is no feature which is common to those things called cows.

Does the apohavādin program succeed? Any critical estimate of the theory must confront the fact that this is a straight-forward case of nominalism by theft. That this is so was recognized by the originator of the theory, Diṅnāga, who boasted that the anyāpoha possesses all the properties of the universal, such as oneness and inherence in the many particulars (quoted by Kamalaśīla at TSP 1000). Presumably, one is to conclude that apohavāda is superior to the accounts of linguistic meaning provided by Nyāya and the Bhaṭṭa Mimāṃsa by reason of 'lightness' or economy. This admission may, however, stir up certain misgivings. Has the apohavādin in fact avoided the illicit use of general entities in his explanation of linguistic practice? Dravid, it will be recalled, asserts that the negation of the opposite meaning is impossible unless the word already possesses a positive meaning. This complaint is a member of a family of objections which originates with Kumārila. What these objections all have in common is the suspicion that one or the other of the expressions 'not non-cow' and 'non-cow' must have as its meaning a real universal if the theory is to succeed.

Kumānila's basic objection is formulated in TS in the following fashion. If the determinacy of the meaning of 'cow' derives from the exclusion of those things which are not cows, then anyone who is able to use the word correctly must be in possession of some principle which may be used to distinguish between cows and non-cows. And there are only two ways in which such a differentiating principle might be formulated. On the one hand, it might be formulated in terms of similarities among those things which are cows; one could, on such a basis, determine that an entity is not a cow because it does not possess any of the features which are common to cows. On the other hand, such a principle might be

formulated in terms of similarities among those things which are not cows; in this case one would determine that an entity is not a cow by noticing that it possesses features common to non-cows. In either case, however, it is assumed that there is something common to one or the other set of entities; and this 'something common' can be nothing other than a universal (TS 931–2).

The reply to this objection is interesting. What it comes to is an insistence that we distinguish between the intension and the extension of the expression 'non-cow'. The opponent has been misled by the occurrence of this expression in the statement, 'The meaning of "cow" is not non-cow'. He supposes that in order to employ the latter equivalence, we must know the meaning of 'non-cow'. In this case the theory must either fall victim to circularity or else stand convicted of assuming the existence of a universal. His supposition is false, however, for the 'non-cow' of this equivalence is an exclusion-class, not the meaning of a term. Put in terms of our limited domain, the meaning of 'cow' is $\sim -p_3$. Here the element corresponding to 'non-cow' is $-p_3$, and given the nature of p_3, this is determined as just the class, $\{p_4, p_5, p_6\}$. What would the meaning of 'non-cow' be? Let us assume that p_4 forms an exclusion-class different from that formed by p_5 and p_6, i.e., that

$$-P_4 = \{p_1, p_2, p_3, p_5, p_6\}$$

$$-p_5 = \{p_1, p_2, p_3, p_4\}$$

We might, for instance, suppose that s_4 is a goat, while s_5 and s_6 are sheep. In this way we are effectively barred from using any one of these three pratibhāsa individually in determining the meaning of 'non-cow'; and this is as it should be, for were we to do so we should be tacitly employing the assumption that there is something common to the non-cows. I would suggest that the meaning of 'non-

cow' is $\sim - (-p_3)$ (or $\sim -(-p_1)$, etc.), that is, not non-(the exclusion class formed by a cow-pratibhāsa). To understand this expression correctly, we must first note that while prasajya-pratiṣedha apoha obeys double negation (TS 1153–7), it is nowhere said that paryudāsa apoha obeys double negation. I take this silence to mean that $- -\ p_3$ is not identical with p_3. In fact, if we consider the manner in which paryudāsa apoha operates, we can see that this is so. For $-(-p_3) = - \{_4, p_5, p_6 \}$, and this in turn is just $\{p_1, p_2, p_3 \}$. Hence $\sim - (-p_3) = \sim \{p_1, p_2, p_3 \}$, that is, what is *not* to be thought of as belonging to the class $\{p_1, p_2, p_3 \}$. This yields the desired result, for $\sim \{p_1, p_2, p_3 \}$ may truly be said to characterize the members of the class $\{p_4, p_5, p_6 \}$, but is itself without existential import.

Several points emerge from this. First, in order to know the meaning of 'non-cow', we must know the meaning of 'cow'. That an entity is a non-cow is determined by the membership of its representation in the exclusion class $-p_3$. We can only be said to know that such an entity is properly called 'non-cow', however, if we know which pratibhāsa occur in the extension of 'cow'. Second, in order to know the meaning of 'cow' we must be able to determine the exclusion-class $-p_3$. We are capable of apprehending that s_3 is a cow only if we have some way of ascertaining which pratibhāsas are excluded by the occurrence of p_3. The third and most important point, however, is that this last task, the determination of the exclusion-class $-p_3$, does not require the employment of either of the two functions $\sim -p_3$ and $\sim -(-p_3)$. It is the nature of the pratibhāsa p_3 to exclude the class $\{p_4, p_5, p_6\}$ One does not need to know that the members of this class all belong to the extension of 'non-cow' in order to recognize that they are excluded by the occurrence of p_3. Nor must one be able to say that p_1 and p_2 are not

excluded by the occurrence of p_3 in order for one to be aware that p_4, p_5, and p_6 are excluded. The occurrence of p_3 causes the exclusion of these pratibhāsa. Having learned the relevant linguistic convention, one then responds to the occurrence of this exclusion with the utterance, 'cow'.

One might, of course, wish to object to this reply on the grounds that it does not satisfactorily explain one's ability to apply the linguistic convention governing the use of 'cow' to this case. 'Surely', one wants to say, 'this convention must involve some rule for determining the nature of that exclusion-class which is to count as a criterion for the application of the word. And this rule must involve a property which determines the membership of the class. Thus to learn the convention is to learn the meaning of "non-cow".' In responding to this objection the apohavādin would want, I think, to make two distinct but related points. The first is that nowhere has it been assumed that there is anything common to the members of the class $\{p_4, p_5, p_6\}$ What one must learn to respond to in order to master the use of 'cow' is the occurrence of this class, not the occurrence of any feature or set of features which determines membership in this class. The second point is that one may learn to act in accordance with a rule without being able explicitly to formulate the rule in question. The apohavadin account of speech-production is a thoroughly causal account: A word is uttered given the occurrence of a pratibhāsa with certain causal properties, together with the disposition to respond to certain stimuli in some determinate fashion and the desire to engage in linguistic behavior (cf. TSP 1013–4). What this suggests is that the learning of the convention should be thought of as a kind of conditioning. When the situation is viewed in this light, the element of recognition is eliminated entirely from the mechanism which underlies the performance, 'This is a cow'. To learn the use of 'cow' is to acquire a

disposition to respond to the occurrence of the exclusion class $\{p_4, p_5, p_6\}$ with the utterance 'cow'. Surely one can do this without formulating the belief that the members of this class are the representations of just the non-cows; the psychological machinery is perfectly adequate to this task. Of course, once this machinery has done its work, we are in a position to say that s_4, etc., are non-cows; we are now able to recognize p_4, etc., as characterized by $\sim - (- p_3)$. We have this ability precisely because we are now operating at the linguistic or conceptual level. It hardly follows from this, however, that we must have employed this ability in ascending from the level of perception to the level of judgment. Still less does it follow from this that there must be something common to p_4, p_5, and p_6 by virtue of which they form an exclusion class.

This is, in any event, how I think the apohavādin wants to reply to this objection. Much more needs to be said on the subject, but so far there do not seem to be any glaring flaws in such a line of response. This is not of course the only objection which might be made to *apohavāda*, although it would appear to be the difficulty most frequently cited in the literature. Many other sorts of questions have also been raised, for instance concerning the ability of the theory to handle such logical terms as 'all', 'and', and 'not'. The defenders of the theory raise a number of interesting points in their discussions of these issues, but there is a great deal here which we do not yet understand. Also still unexplored is the question of the role which Diṅnāgā's doctrine of categories plays in the theory. It would seem as if the categorial structure should serve to delimit the size of the exclusion classes, but it is not clear precisely how this would work. It is possible that further inquiry into these and other questions will ultimately unearth major defects in *apohavāda*. At this stage, however, and assuming that my reconstruction is at least in general

outline correct, I can see no reason to believe that this brand of Buddhist nominalism is inconsistent. This result is of no little significance, for it is widely believed that a consistent extreme nominalism is unattainable. Here, as elsewhere, Dravid appears to have missed a feature of the Indian debate on the problem of universals which is of more than just historical interest.

I have left for last some remarks on the completeness of Dravid's survey of the problem of universals. There are a number of points on which our understanding would be enhanced by a more detailed examination of the problem. For instance, Dravid repeatedly refers to the apohavādins as 'the Buddhist nominalists', but it is clear that the Yogācāra-Sautrāntikas were not the first Buddhist school to embrace nominalism. I suspect that much could be learned about *apohavāda* from an investigation of the attempts of the Vaibhāṣikas, early Sautrāntikas, and Theravādins to do away with abstract entities. That this problem has a long history in Buddhist thought can be seen from the fact that already at Kathā Vatthu VII. 1 we find a debate over the question, whether dhammas (i.e., reals) can be collected under other dhammas. likewise, there is much more to be said on the subject of Nyāya realism. Dravid reports the traditional Nyāya doctrine that the universal is ubiquitous (p. 93), but fails to mention the dispute among later members of the school over the meaning and the truth of this claim. He also notes the use which critics of realism made of the Nyāya distinction between universal (*jāti*) and imposed property (*upādhi*): If the great majority of abstract terms are the names not of real universals but of imposed properties, then why cannot such terms as 'cowness' be similarly construed? He sketches the replies of Uddyotakara and Kumārila to this objection (pp. 91–3), but there is, I believe, far more in the literature of the school on the question. Indeed, this is an area where further exploration might prove extremely rewarding, for the issue resembles in certain

respects the contemporary debate over nominal terms and natural kind terms.

It would hardly be fair to criticize Dravid for failing to carry out such investigations, however, for he has managed to bring order to a rather enormous range of quite varied materials. Indeed, his work has the salutary effect of bringing to our attention just such gaps in our knowledge of the history of the problem. It also facilitates further exploration by providing an accurate picture of the general positions of the chief participants in the debate. In this respect Dravid has made a truly significant contribution to the field.

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NOTES

[1] Raja Ram Dravid, *The Problem of Universals in Indian Philosophy*. (Delhi: Motilal Banarsidass, 1972). Further references, by page number, will be incorporated in the text in parentheses.

[2] *Tattvasaṃgraha of Ācārya Śantarakṣita With the Commentary 'Pañjika' of Śrī Kamalaśīla*, ed. Dwarkidas Shastri (Varanasi: Bauddha Bharati, 1968). References, by verse number, to Tattvasaṃgraha (= TS) and to *Tattvasaṃgrahapañjika* (= TSP) will be incorporated in the text in parentheses.

[3] The terms 'verbally bound negation' and 'nominally bound negation' originate with Matilal. See Bimal K. Matilal, *The Navya-Nyāya Doctrine of Negation*. Harvard Oriental Series, Vol. 46, Cambridge: Harvard University Press, 1968, pp. 156–7.

[4] Cf. Matilal, *Negation*, pp. 92–3.

[5] This was pointed out to me by Prof. David Davis of the University of Hawaii. A similar point is made by Matilal in *Epistemology, Logic and Grammar in Indian Philosophical Analysis*, The Hague: Mouton and Co., 1971, p. 163.

Negative Facts and Knowledge of Negative Facts[*]

Brendan S. Gillon

INTRODUCTION

Negative facts have perplexed Western philosophers ever since the time of Plato.[1] But the philosophers of Europe and America have not been the only philosophers to have been perplexed by them; classical Indian philosophers too have pondered their nature. My interest here is to explore how the reflections of these classical Indian philosophers, transposed into the contemporary philosophical idiom, might enrich current metaphysical thinking about negative facts; and what I shall conclude is that at least one of these philosophers has a view of negative facts sind knowledge of them, which, when so transposed, is very plausible indeed.

I shall begin by asking the fundamental ontological question of whether or not negative facts exist and then sketch various replies which European and American philosophers have given to it. Since these replies have not led to any decisive answer to the question, I shall then ask two other questions: the more specific ontological question of whether or not absences—surely paradigmatic examples of negative facts—exist; and the related epistemological question of what is known when the absence of something is said to be known. Answers to these questions comprise an important part of classical Indian philosophy; and I shall outline their answers to them, concluding that the most plausible answers to these questions are

those of Jayanta Bhaṭṭa, who maintained that absences do indeed exist and that they are known not only by inference but also by perception.

I NEGATIVE FACTS

Do negative facts exist or not? In one sense, of course, negative facts do exist. After all, if each of the following sentences should be true:

(1.1)   There is not a hippopotamus in this room.

(1.2)   Socrates is not alive.

(2.1)   There is a dog in this room.

(2.2)   Putnam is alive.

then, clearly, each of them expresses some fact.

This, however, is not what is meant by those who maintain that there are negative facts. What the proponents of the existence of negative facts mean is: first, that all facts can be partitioned (i.e. exhaustively divided) into two sets, positive and negative, neither of which, on its own, comprises the totality of facts making up the world; and, second, that facts of both kinds would obtain, even if there were no minds to know them.

Scepticism about the existence of negative facts is based, I believe, on two considerations. The first consideration is that 'negative facts are nowhere to be met with in experience'.[2] It is not clear, however, that this is so. Certainly common sense militates against this conclusion; for, common sense tells us that, if one simply looks into a refrigerator, and if there is broccoli in it, then one sees that there is broccoli in it, and if there is no broccoli in it, then one sees that there is no broccoli in it.

The sceptics' second consideration is that the division of facts into positive and negative ones is a spurious one, being an artefact of natural language. Looking again at the example sentences above, one might conclude that there is neither anything negative pertaining to the facts expressed in the pair of sentences in (1) nor anything positive pertaining to the facts expressed by the sentences in (2)—except, perhaps, that the first two facts are expressed by sentences with the adverb 'not' and the second two are expressed by sentences without it. Some sentences, remarked upon by Frege,[3] make the point. As he observed, the very same thing can be expressed both by sentences with negative particles and by ones without them.

(3.1)   Christ is immortal.

(3.2)   Christ lives forever.

(4.1)   Christ is not immortal.

(4.2)   Christ is mortal.

(4.3)   Christ does not live forever.

The conclusion, however, is not convincing, unless it can be shown, first, that every sentence expressed with a negative particle can be expressed by an equivalent one without any negative particle, and second, that the ontic commitments of the paraphrase are fewer than those of what is paraphrased. As I shall show below, it is difficult to meet these two desiderata jointly.

On the basis of the implicit assumption that every sentence with exactly one negative particle of the form N(S) has a version without the negative particle of the form S, Demos suggests that any sentence of the form N(S) can be paraphrased by a sentence of the form 'that which is inconsistent with S is true'.[4] For example, a sentence such as 'this rose is not yellow' can be paraphrased as 'that

which is inconsistent with "this rose is yellow" is true' (or, more idiomatically, as 'that which is inconsistent with this rose's being yellow is true').

But, in the relation of inconsistency, what is inconsistent with what? Sentences as such are not inconsistent with one another, except insofar as they are expressions of things which are themselves inconsistent with one another. Thus, to answer the question just raised, one must first determine what sentences are expressions of. As Husserl makes clear in his *Logical Investigations?*[5] sentences are expressions, on the one hand, of propositions, which are the meaning correlates of sentences, and on the other hand, of states of affairs, which are the object correlates of sentences.[6] Inconsistency, then, is a relation either between propositions or between states of affairs. And so, to eschew acceptance of negative facts through a paraphrase of the kind suggested by Demos is to accept the existence of either propositions or states of affairs.

Russell, in his *Philosophy of Logical Atomism?*[7] rejects the existence of both. Propositions, he says, are not included in 'an inventory of the world', and so 'are not what you might call "real"' And while states of affairs which obtain—that is, facts—are included in an inventory of the world, and hence are real; states of affairs which do not obtain are not in the inventory, and hence are not real. To these two explicit premises must be added this implicit one: real relations must have real relata—from which it follows that, if even one of the relata of a relation is not real, the relation itself cannot be real. Therefore, inconsistency cannot be a real relation between propositions, since propositions themselves are not real. Neither can inconsistency be a real relation between states of affairs, since at least one of a pair of states of affairs related by inconsistency cannot obtain, that is, cannot be a fact, and hence cannot be real. Thus, Russell concludes, 'it is simpler to accept negative facts as facts'.[8]

It might be thought that Russell's concerns could be met by supposing that inconsistency between a pair of states of affairs is supervenient upon inconsistency between actual properties ascribed to the very same actual individual substance or between actual relations ascribed to the very same actual individual substances taken in some fixed order. Thus, for example, the inconsistency between a state of affairs of a particular rose being red and a state of affairs of the very same rose being yellow, might be thought of as supervenient upon the inconsistency of the property of being red and the property of being yellow. Thus, to say that a particular rose is not yellow is to say that it has a property inconsistent with that of being yellow.

Alternatively, having discarded states of affairs as real and accepting only actual properties, relations, and substances as real, one might dispense with the Demos's paraphrase altogether and invoke one which mentions the relation of non-identity instead. Thus, to say that a particular rose is not yellow is to say that every property which this rose has is distinct from the property of being yellow.

These last two alternatives meet with one serious problem: *Impersonalia*, that is, states of affairs expressed by uniclausal sentences with impersonal subjects (e.g. 'it is raining' and 'it is sunny'). As Reinach[9] has pointed out, such states of affairs can be inconsistent with one another, for example,

(5.1)   It is sunny.

(5.2)   It is overcast.

and their inconsistency cannot be recast as an inconsistency among constituents of factual states of affairs.

In short, either one accepts the existence of negative facts or one accepts inconsistency between either propositions or states of affairs.

But, even if one accepts the latter alternative, one still must accept the existence of at least one negative fact, namely the fact that there is the negative relation of inconsistency.

It seems that the move to eliminate negative facts, or more generally, to eliminate negative states of affairs, founders on the need to invoke a relation which is itself negative. It might be thought that perhaps this predicament results from a misassignment of the burden of proof: the burden of proof lies, not with the opponents of negative facts, but with their proponents. In other words, it is not that one must show how negative facts can be eliminated, rather it is that one must show that there are reasons to posit their existence in the first place.

Russell, in his *Philosophy of Logical Atomism*, offers reasons to posit the existence of negative facts. Recall that Russell's logical atomism has, as a central tenet, that a logically ideal language, in displaying the logical form of the sentences of natural language, would thereby lead one to a correct ontology. According to Russell,[10] the atomic sentences of a logically ideal language which are true are rendered true by positive facts, while its false atomic sentences are rendered false by negative facts. In other words, the correspondence theory of truth needed for the logically ideal language requires two relations, correspondence, whereby facts render atomic sentences true, and what one might call counter-correspondence, whereby facts render atomic sentences false. Counter-correspondence is to be distinguished from a simple failure of correspondence. In the latter case, there simply is no fact to render a sentence true; in the former case, there is a fact to render the sentence false.[11]

Oaklander and Miracchi[12] have maintained that Russell did not have to posit the relation of counter-correspondence, and hence that he had no need to posit its factual relata of negative facts. They

suggest that, instead, atomic sentences are rendered false, not by counter-correspondence, but by a mere failure of correspondence.

The suggestion is a compelling one. Recall that the classical bivalent semantics for sentential logic is based on a truth-value assignment of exactly one of the truth-values of true and false to each of the atomic sentences of the language: that is to say, it is based on a total bivalent function from the set of atomic sentences to the truth-value set {T, F}. From this perspective, Oaklander and Miracchfs suggestion amounts to this: the total bivalent function from the set of atomic sentences to the truth-value set {T, F} can be replaced by a partial univalent function from the set of atomic sentences to the truth-value set {T}.

If the only task the relations of correspondence and counter-correspondence are required to do were to ground the truth-value assignment of atomic sentences, then the suggestion by Oaklander and Miracchi would be irreproachable. However, I do not believe that their only task is to ground the assignment of truth-values to atomic sentences. Surely it is necessary, in addition, to distinguish atomic sentences by what they express. Now, the differences among what true atomic sentences express can be grounded in the relation of correspondence: two true atomic sentences are expressively different by dint of their being made true by two different facts. But in what can be grounded the differences among what false atomic sentences express? Russell can ground the differences among what false atomic sentences express in counter-correspondence: two false atomic sentences are expressively different by dint of their being made false by two different (negative) facts. Oaklander and Miracchi's suggestion to give up the relation of counter-correspondence and the negative facts which go with it, leaves Russell with all false atomic sentences expressing the same thing, namely nothing.

Of course, the posit of negative facts and the relation of counter-correspondence is not the only way to address the problem of grounding the expressive difference among atomic sentences. An alternative is to posit a second relation of correspondence, call it expressive correspondence, whereby the expressive difference among atomic sentences is grounded in the differences among the states of affairs they express. On Russell's view, then, there are two verification relations, correspondence and counter-correspondence, and two kinds of facts, positive (positive states of affairs which obtain) and negative (negative states of affairs which obtain). On the alternative view, there are two kinds of states of affairs, namely those which obtain and those which do not, and one verification relation, namely correspondence.

This alternative is unacceptable to Russell, since, as we saw before, Russell, the logical atomist, was unwilling to countenance the existence of states of affairs which are not facts. Yet Russell's fellow logical atomist, the early Wittgenstein, was perfectly willing to do so;[13] and, as a result, he can, and does, reject the existence of negative facts.[14] Thus, even with the assumptions peculiar to logical atomism, one is not compelled to accept the existence of negative facts; though, as Hochberg[15] points out, the acceptance of the existence of some counterpart for negative facts, such as the acceptance of the existence of states of affairs, is inevitable.

The reasoning just given for the acceptance of the existence of negative facts depends on assumptions peculiar to the doctrine of logical atomism; yet, even accepting these assumptions, one is still not compelled to embrace the existence of negative facts. The question arises: are there reasons which are not dependent on assumptions peculiar to a philosophical doctrine which nonetheless compel the acceptance of negative facts? I believe so; but they lie in

an approach to the question of the existence of negative facts, different from the kind considered thus far.

II ABSENCES AND KNOWLEDGE OF ABSENCES

The approach is to consider paradigmatic instances of negative facts and see how such instances are to be accounted for within a larger metaphysical theory. A natural candidate for paradigmatic instances of negative facts is absences; and an obvious metaphysical setting within which to consider them is the epistemological setting of their knowability. Absences and their knowability has been well explored by classical Indian philosophers.[16] In what follows, I shall review the various metaphysical positions taken with respect to this pair of questions and defend the conclusion of Jayanta Bhaṭṭa, namely that not only do absences exist but they can be known by mere perception.

Most classical Indian philosophers, like most contemporary philosophers, include perception and inference among the standard means of knowledge. Thus, for example, if I should enter a colleague's office and see him sitting at his desk, I know that he is sitting at his desk because of my visual perception of him there; and if, from my office window, I should see smoke rising from a building in the distance, I know that the building is on fire because of an inference from my observation of the smoke arising from it.

But now suppose that I enter a colleague's office and my colleague is not there. How do I know that he is not there? One obvious answer, tendered by the classical Indian philosopher Kumārila Bhaṭṭa (AD 620–680), is that I fail to perceive him in his office.[17] While this answer has the ring of common sense, there are reasons to baulk at accepting it. To begin with, perception and inference are, in one sense, faculties or cognitive capabilities, whereas non-apprehension

(an-upalabdhi), the act of failing to perceive something, is not. There is, however, a more important reason to abandon the view that non-apprehension of something is a means of knowledge of its absence —something may be present yet not be perceived. Suppose that when I enter my colleague's office, it is night-time, the lights are out, and as a result his office is completely dark. Under these conditions, I would fail to see my colleague, even though he might very well be present.

There are essentially four possible metaphysical positions to account for what it is that I know when, after entering my colleague's office, I come to know that he is not present there. Each of the positions has been adopted and defended by certain classical Indian philosophers. On the one hand, some take the absence of my colleague from his office as a brute, negative fact. Of them, some hold knowledge of this fact to be perceptual; while others hold it to be inferential. On the other hand, some hold that the absence of my colleague from his office has no real ontic status at all, and believe that what there really is in the situation is just the sum of all the things present in the office. These latter philosophers hold that knowledge of my colleague's absence is just knowledge of what is present, though some believe the knowledge results from perception, while others from inference.

The first classical Indian philosopher known to have understood and addressed the problem which confronts the view of Kumārila Bhaṭṭa's is his older contemporary, Dharmakīrti (AD 600–660). According to Dharmakīrti, I know something, when I correctly report, having entered my colleague's office under the tight conditions, that my colleague is absent from it; but what I know is not a negative fact and it is not known by perception. Rather, what I know is a simple (positive) fact and it is known by inference.

Recall that, for a philosopher like Demos,[18] the relevant inference is based on the relation of inconsistency between the simple (positive) fact I observe upon entering my colleague's office, on the one hand, and the state of affairs of my colleague's presence, on the other hand. To be sure, Dharmakīrti holds that the relation of inconsistency plays a role in many inferences which warrant one's claim to know some allegedly negative facts. For example,. Dharmakīrti holds that from the presence of heat one can infer an absence of cold, since heat and cold are inconsistent (with respect to the same locus). But it is not his view that inference based on the relation of inconsistency plays a role in the case at hand. Rather, Dharmakīrti maintains, one reasons as follows: the causal conditions of perception known to me are such that, if my colleague were present in his office, I would see him; I do not see him; therefore, he is not present. The inference is counterfactual.[19]

One obvious objection to Dharmakīrti's position is one raised by Taylor[20] against Demos[21] and Russell.[22] Taylor argues that there is no more justification for the assertion that inference is involved in the case where one looks at a circle with no dot in it and observes that there is an absence of a dot from the circle, than there is for the assertion that inference is involved in the case where one looks at a circle with exactly one dot in it and observes that it has a dot. Taylor's point is that the two epistemic situations are phenomenologically the same in all relevant respects, and that since inference is not required to account for knowledge in the second case, it is not required in the first case either.

Taylor's point certainly seems to hold in the case at hand. Suppose I am standing at the threshold of my colleague's office door and looking into his office, my view unobstructed and the room suffused with light. If my colleague is in the office and I report that he is, it seems that, if asked how I know, I can answer only that I see that he

is there; and if my colleague is not in his office and I report that he is not there, it seems that, if asked how I know, I can answer only that I see that he is not there.

There are, however, other cases where the epistemic situation seems less phenomenologically similar than what is suggested by either Taylors case or the case I just gave. Suppose that I drop a screw and suspect that it has fallen into a hole which I cannot see into but which I can put my hand into and completely search. Suppose that, after doing so, I report that the screw is not in the hole. If asked how I know, I would answer: if it had been there, I would have touched it; but since I searched for it by hand and did not touch it, it must not be there.

Indeed, given the right setting for the case where I report the absence of my colleague from his office, one can readily imagine situations in which inference does seem relevant to the determination of an absence, in the way it is relevant to the determination of the absence of the lost screw from the hole. Suppose that I and a companion have some reason to believe that my colleague might be in his office but hiding. If I were to go in and look about his office carefully and then report that he is not in the office, I might very well justify my report with counterfactual inference: I looked thoroughly; and if he had been there, I would have seen him.

It might be countered that the phenomenological dissimilarity in the epistemic situations of the knowledge of absences and knowledge of presences, evinced in these last two cases, results, not from the cognitive process at the time when the absence came to be known, but from the cognitive process at the time when pressed for a justification. If that is the case, then a deeper issue is now raised which undercuts Taylor's original argument: namely the issue of the

accessibility of cognitive processes to introspection— an issue which space does not permit me to pursue here, as important as it is.

Taylor's objection aside, the question remains: does Dharmakīrti's counterfactual inference obviate the need to invoke the existence of absences? It seems not to. Suppose, for example, I know that my colleague is absent from his office. Let me symbolize this as — p. Now, according to Dharmakīrti, I know this, because I have inferred it from two premises which I already knew: first, the counterfactual conditional that if my colleague were present in his office, then I would know that he is present there; and second, I do not know that he is present in his office. Let me symbolize them as p > Kp and ¬ Kp respectively (where 'K' denotes the epistemic operator corresponding to the English 'a knows that' and '>' denotes the connective for counterfactual conditionals). But this gives rise to a dilemma: how do I know that I do not know that my colleague is present in his office? In other words, how do I know that > Kp? On the one hand, if Dharmakīrti holds that I perceive that I do not know that my colleague is present in his office, that is to say, that I perceive ¬ Kp, then Dharmakīrti accepts thereby not only the existence of negative facts, in this case, negative mental facts, but also their perceptibility, both of which he wants to deny. On the other hand, if Dharmakīrti holds that I infer that I do not know that my colleague is present in his office, that is to say, that I infer ¬ Kp, then there must be an inference to ground that claim, just as there is an inference to ground the initial claim that my colleague is not present in his office, that is, ¬ p. An infinite regress of inferences becomes inescapable, despite Dharmakīrti's protestations to the contrary.[23]

A different position regarding negative facts and knowledge of them is the one adopted by the followers of Kumārila Bhaṭṭa. Though they maintained, unlike Dharmakīrti, that there are negative facts; nonetheless, they seem to have adopted his view that knowledge in

such cases is derived only from counterfactual inferences.[24] Their view, of course, suffers from the very same dilemma just raised with respect to Dharmakīrti's view, namely the dilemma of having either to concede the perception of some negative facts or to accept, for any negative fact said to be known, an infinite regress of inferences of negative facts.

A younger contemporary of Kumārila Bhaṭṭa, Prabhākara (AD 650–720), who shared many of his philosophical assumptions, adopted the view that what I know, when upon entering my colleague's office I come to know that he is absent from it, is some visually perceived, positive fact, that is, some presence. But what would be the plausible candidate for such a presence? According to Prabhākara, it might be the presence of his chair. What else could there be to the absence of my colleague from his chair than the presence of his chair? After all, as Buchdahl[25] has observed, one needs to draw only one picture to draw a picture either of my colleague's chair or of his chair without him in it. Yet, Prabhākara's metaphysical opponents were sceptical: they pointed out that, if my colleague's absence were identical with the presence of his chair, then anytime I perceive his chair, which includes the times that my colleague is in his chair, I should know that he is absent. This, according to the opponents, is patently absurd.

Prabhākara apparently sought to extricate himself from this objection by denying that the presence of my colleague in his chair is the same as the presence of his chair without him in it: in the former case, there are two presences, that of my colleague and that of his chair; but in the latter, there is only one, namely that of his chair. Opponents of Prabhākara suspected that this distinction cannot be made without directly or indirectly relying on an assumption of the existence of absences: for, as they pointed out, to distinguish the presence of my colleague in his chair from the presence of only his

chair requires the use of such expressions as 'only' ('*eva*') or merely ('*mātra*'), which are implicitly negative expressions, since to say that there is only one presence is to say that there is at least one presence and there is no more than one presence.[26]

Prabhākara faced another objection. How is he to account for the fact that, when I see simply my colleague's chair, what I come to know is his absence and not one of the infinity of other absences which are also then present? One reply is to maintain that there is a difference between what I see and what I remark upon, and that this difference obtains equally in cases of the perception of what are unquestionably presences as well as in the cases of perception of what are allegedly absences. For the very same reason that when *I* look at my colleague's desk and remark that there is a pad of paper on it but fail to remark to myself that there is a pencil on it, I remark on his absence from his chair but I do not remark on the absence of the departmental chairman from it.[27]

An alternative to Prabhākara's position is one advocated by Jayanta Bhaṭṭa (fl. AD 890). He agrees with Prabhākara that perception is the relevant means for knowing that my colleague is absent from his office, but disagrees with him that all that is relevant to my knowledge of his absence is my perception of some presence. Rather, Jayanta Bhaṭṭa holds that absences are brute facts unto themselves and that my colleague's absence in the case described above is known through perception. Jayanta Bhaṭṭa, like others of the same school, thought of perception as a causal process, the linchpin of which is contact between the object of perception and the appropriate sense organ. Thus, for example, in the tactile perception of the pencil in my hand, the key causal link is the contact of the organ, the skin, with the pencil This view of perception, however, raised an immediate problem; if contact between an object of perception and the appropriate sense organ is the key link in the

causal process of perception, how can there be perception of absences, for surely it is absurd to think of any sense organ as coming into contact with an absence.

Jayanta Bhaṭṭa's response to this objection is to revise the definition of sense perception: he restricted the above definition to the perception of positive facts and provided a special clause to account for perception of negative facts. According to Jayanta Bhaṭṭa, this move was not *ad hoc*; and at least within his overall metaphysical framework, it had independent motivation, for he believed that, though universals do not come into contact with the sense organs, they nonetheless can be perceived. In general, something is perceived just in case it is a physical thing suited to a sense organ and in contact with it, or it is a universal inhering in a physical thing and both the universal and the physical thing are suited to the sense organ, or it is an absence related to a place and both the absence and the place are suited to the sense organ.

To a contemporary philosopher, Jayanta Bhaṭṭa's response to this objection might seem both *ad hoc* and implausible. But let us not so readily discard his view of absences and their knowability. The implausibility of his response derives, not from his acceptance of negative facts and of their perceptibility, but from other assumptions, common to pre-modcrn thinkers, which modern metaphysics is coming to abandon. These assumptions are: that perception requires contact; that the relata of the causation relation are things; and that the mental relata of the relation of perceptual causation are the thing-like things, images. It seems to me that the most interesting aspects of Jayanta Bhaṭṭa's metaphysical views are retained, even when these assumptions are revisedinto a form more congenial *to* current views of these metaphysical issues. Let us see how this can be done.

To begin with, in spite of its prevalence in the pre-modern world, the view that contact between the object of perception and the appropriate sense organ is the linchpin in the causal process resulting in perceptual knowledge, is simply untenable, except in some very attenuated sense of contact. Descartes is perhaps the last serious thinker to hold a contact theory of visual perception; and even in his theory, the contact between the eye and the object of vision is mediated by a long chain of things, each in contact with some other.[28] If one considers what is really essential in jayanta Bhaṭṭa's epistemology, it is his view that perceptual knowledge results from a causal process; while contact between the object of perception and the appropriate sense organ plays an utterly ancillary role.

Another aspect of Jayanta Bhaṭṭa's metaphysics requiring some modification is his view of causation. To see what modification is required, we turn to the pioneering work by Zeno Vendler[29] on the expression of causation in natural language.[30]

We are all familiar with metonymy, the figure of speech whereby one word, typically a noun, literally denoting one thing, is used to denote something else, by dint of some well-known connection between the first thing and the second. Thus, for example, it is correct and idiomatic to say:

(6) The crown granted an amnesty to the rebels,

where the word 'crown', which literally denotes ornamental headgear worn by a monarch, is used to denote a monarch. Nor is metonymy a mere literary device, as the following sentences are intended to show.

(7.1)   Have you read any (works by) Shakespeare?

(7.2)   The White House (i.e. the President of the United States) has just made a statement.

Even entities which are not physical objects can be denoted metonymically. Thus, for example, what is forbidden by the first sentence below is not track shoes, but rather the activity of wearing track shoes in the locker room. Its literal paraphrase is given by the second sentence.

(8.1)   Track shoes are forbidden in the locker room.

(8.2)   The wearing of track shoes in the locker room is forbidden.

Metonymy also appears commonly and naturally in ordinary parlance pertaining to causation, as the following sentence and its literal paraphrase illustrate.

(9.1)   This nail caused our flat tire.

(9.2)   The puncturing of our tire by this nail caused it to go flat.

Metonymy, then, enables one to speak of a nail as a cause and a flat tire as an effect. Moreover, philosophical parlance easily abides such usage, as illustrated by the following remarks from Kant's *Critique of Pure Reason*.

A room is warm, while the outer air is cool. I look around for the cause, and find a heated stove. Now the stove, as cause, is simultaneous with its effect, the heat of the room.[31]

   In light of the role of metonymy in talk about causes and effects, it would be a mistake to permit such humdrum usage to inveigle one into believing that causation is a relation between physical objects. What, then, is the causation relation a relation between?

   Since Vendler's insightful work, it is common to distinguish, at least *prima facie*, among physical objects, states of affairs, and events.[32] Events have both spatial and temporal location, since they

take place or occur at a time and a place. Physical objects, however, have only spatial location, since they cannot be said to occur or take place. Facts have neither spatial nor temporal location.[33] What Vendler[34] shows is that, when metonymy is eliminated, causes and effects turn out to be states of affairs. And among the states of affairs which can serve as causes or effects arc negative ones. The cause of an automobile accident, for example, might be a driver's not seeing a red light; and the driver's not seeing a red light, in addition, might be the effect of his being distracted by a passenger in his car. Moreover, absences are negative states of affairs, and they too can be both causes and effects. A negative state of affairs might be a cause: an absence of light in a room might cause someone to stumble. A negative state of affairs might be an effect: a short-circuit caused there to be an absence of electrical power. And a cause and its effect might both be negative states of affairs: an absence of oxygen in a room might cause someone to go unconscious.

The final assumption to be revised pertains to the specific relata of perceptual causal processes. The widespread pre-modern model is that the relata are physical things, on the one hand, and images or mental pictures, on the other.[35] But this model simply won't do for propositional knowledge.[36] If a proposition is a proper characterization of what is the result of an act of propositional knowledge, then what is the object ofthat act? The usual, if implicit, answer is a state of affairs or a fact.[37] The current consensus, sometimes implicit, sometimes explicit, is that facts are the cause of an epistcmic state, itself a fact or state of affairs, whose content is expressed by a proposition.

Once some of Jayanta Bhaṭṭa's metaphysical assumptions are reformulated to overcome their *prima facie* imphusibility, a rather plausible account emerges of what it is that one knows when, in the right circumstances, one comes to know, say, of a colleague's

absence from his office after having entered it, and how one knows what one knows in those circumstances: what one knows is the negative fact of a colleague's absence from his office and one knows it by means of perception. The plausibility of this account stands in contrast to the other three metaphysical alternatives, explored above, advocated by Prabhākara, Dharmakīrti, and Kumārila Bhaṭṭa. As was shown, the view of Prabhākara, namely that so-called negative facts are just presences of some kind, fails to say what, exactly, such presences are, without covertly relying on some form of negative fact; while the views of Dharmakīrti and the followers of Kumārila Bhaṭṭa, namely that only inference is a source of knowledge for whatever is known when an absence is said to be known, founder on the fact that the appropriate inferences must be grounded, inevitably, in a perception of something which is itself said to be an absence—which entails, contrary to their views, that at least some cases of knowledge of absences are cases of perception.

NOTES

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1. *Sophist*

2. Raphael Demos, 'A Discussion of a Certain Type of Negative Proposition', *Mind* 5: 26, 1917, p. 189.

3. Gottlob Frege, 'Negation', *Beiträgt zur Philosophie des deutschen Idealismus*, 5: 1, 1919, pp. *143–57*, English trans., Geach and Blackwell, 1952, p. 125.

4. Though Demos most frequently resorts to the word 'opposite' in his paraphrases, he makes it clear that both 'contrary' and 'inconsistent' are suitable equivalents. Demos, 'A Discussion of a Certain Type of Negative Proposition', p. 191.

5. Edmund Husserl, *Logische Untersuchungen*, Halle, Germany: M. Hiemeyer, 1900, English trans., Findlay, 1970, Investigation I, ch. 1, esp. sees 11–13.

6. Bertrand Russell, The Philosophy of Logical Atomism', *Monist*, 5: 28–9. 1918, Reprint, ed. by Pears, 1985, Lecture III, p. *77*.

7. Barry Smith, 'An Essay in Formal Ontology', *Gratzer Philosophische Studien* 5: 6, 1978, art. 2, discusses the connection of Frege's distinction between sense and reference, well known to Anglo-American philosophers, with this distinction of Husserl's.

8. Later, Bertrand Russell, *An Enquiry into Meaning and Truth*, New York: Allen and Unwin, 1940, pp. 73–4, 81–2, rejects, without argument, the existence of negative facts.

9. Adolf Reinach, 'Zur Theorie *des* negativen Urteils', in A. Pfänder, ed., *Münchener Philosophische Abhandlungen. Festschrift for Theodor Lipps*, 1911, sec. 12.

10. Russell, *The Philosophy of Logical Atomism*, Lecture III, p. 78.

11. See Russell, ibid., Lecture I, pp. 46–7; Lecture II, p. 51; and Lecture III, p. 71.

12. L. Nathan Oaklander and Silvano Miracchi, 'Russell, Negative Facts and Ontology', *Philosophy of Science*, 5: 47, September 1980, sec. III.

13. Ludwig Wittgenstein, *Logish-Philosophische Abhandlung: Annalen der Naturphilosophie*, 1921, trans., Pears and McGuiness (*Tractatus Logico-Philosophicus*), 1961, 2.04.

14. Ibid., 2.05 and 2.06.

15. Herbert Hochberg, 'Negation and Generality', *Noûs*, 5: 3, 1969, pp. 325–8.

16. A good overview of the various positions and arguments is Jaynnta Bhaṭṭa's *Nyāya-Mañjarī* end of the first *āhnika*. K.S. Varadacharya, ed., *Nyāya-Mañjarā of Jayantabhaṭṭa with Tippaṇi Nyāyasaurabha by the Editor*, 2 vols, Mysore: Oriental Research Institute, University of Mysore, 1969, v. 1, pp. 130–65; J.V. Bhaṭṭacharya, trans., *Nyāya-Mañjarī: The Compendium of Indian Speculative Logic*, New Delhi: Motilal Banarsidass, 1978, pp. 102–32.

17. See his *śloka-vārttika*, ch. 9 (Abhāva-vāda: On Negation), verse 11.

18. Demos, 'A Discussion of a Certain Type of Negative Proposition'.

19. See Dharmakkīti's *Nyāyabindu*, ch. 2, sūtras 12ff. (Dalshukh Malvania, ed., *Paṇḍita Durveka Miśrds Dharmottarapradipa, Being a Sub-commentary on Dharmottara's Nyāyabinduṭīkā, a Commentary on Dharmakīrtiʾs Nyāyahindu*, Patna: Kashiprasad Jayaswal Research Institute, 1955 [Tibetan Sanskrit Works Scries: 2], 2nd edition, 1971, pp. 101ff); and his *Pramāṇa-vārttika*, ch. 3 *(Svārthānumāna)*, verses 3–6 and his own commentary thereto Ranicro Gnoli, ed., *The Pramānavārttikam of Dharmakīrti: The First Chapter with Autocommentary, Text and Critical Notes*, Rome: Istituto haliano per il Medio cd Estremo Oriente, 1960 (Serie Orientale Roma: 23), pp. 4–6. This point is treated in derail by Brendan S. Gillon, 'Dharmakīrti and His Theory of Inference', in Matilal and Evans, eds, *Buddhist Logic and Epistemology*, 1986.

20. Richard Taylor, 'Negative Things', *The Journal of Philosophy*, 5: 49, 1952, pp. 443–5.

21. Demos, 'A Discussion of a Certain Type of Negative Proposition'.

22. Russell, *An Enquiry into Meaning and Truth*.

23. See his *Pramāṇavārttika*, ch. 3 *(Svārthānumāna)*, v. 3 and the commentary thereto, Gnoli, *The Pramānavārttikam of Dharmakīrti*, pp. 4–5.

24. These philosophers, unlike Dharmakīrti, but like most other classical Indian philosophers, considered counterfactual reasoning *(tarka)* neither as a form of inference *(anumāna)* nor, in general, as a standard means of knowledge *(pramāṇa)*. The case of counterfactual reasoning yielding knowledge of negative facts was set aside by them as a means of knowledge unto itself, called 'non-apprehension'. For further details, see Dhirendra Mohan Datta, *Six Ways of Knowing: A Critical Study of the Vedānta Theory of Knowledge*, Calcutta: Calcutta University Press, 1932, 2nd revised edition, 1960, Book III, ch. 4.

25. Gerd Buchdahl, The Problem of Negation, *Philosophy and Phenomen-ological Research*, 5: 22, 1961, pp. 176–7.

26. For linguistic confirmation of this view of 'only', see Laurence R. Horn, *A Natural History of Negation*, Chicago: The University of Chicago Press, 1989, p. 249.

27. This point has also been made by Buchdahl, 'The Problem of Negation', p. 175.

28. See, for example, his *La Dioptrique*.

29. Zeno Vendler, *Linguistics in Philosophy*, Ithaca, New York: Cornell University Press, 1967, chs 5 and 6; and Zeno Vendler, 'Causal Relations', *The Journal of Philosophy*, 5: 54, 1967.

30. Vendler's discussion is confined to English, but most of what he says holds with little or no modification of other languages.

31. Kant, *Critique of Pure Reason*, B 247–8, trans., Norman Kemp Smith.

32. It is customary in the specialist literature to use the term 'event' to include such entities as processes and states, due to a lack in English of an appropriate inclusive term.

33. See Vendler, *Linguistics in Philosophy*, ch. 5.12, for further discussion.

34. Ibid., ch. 6; and 'Causal Relations'.

35. Once again, see, for example, Hume's *An Enquiry Concerning Human Understanding* sees IV, V and VII *passim*.

36. Russell (*The Philosophy of Logical Atomism*, Lecture IV, sec. 1, pp. 82ff), in his criticism of James and Dewey, exhibits an awareness of this problem.

37. See, for example, Alvin Goldman, 'A Causal Theory of Knowing', *The Journal of Philosophy*, 5: 64, no. 12, 22 June 1967, Reprint, ed. by Roth and Galis, 1970, p. 82.

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MEREOLOGICAL CONSIDERATIONS IN VASUBANDHU'S "PROOF OF IDEALISM"*

(Vijñaptimātratāsiddhiḥ)

Matthew Kapstein

And the venerable Nāgasena said to Milinda the king: "You, Sire, have been brought up in great luxury, as beseems your noble birth. If you were to walk this dry weather on the hot and sandy ground, trampling under foot the gritty, gravelly grains of the hard sand, your feet would hurt you. And as your body would be in pain, your mind would be disturbed, and you would experience a sense of bodily suffering. How then did you come, on foot, or in a chariot?"

"I did not come, Sir, on foot. I came in a carriage."

"Then if you came, Sire, in a carriage, explain to me what that is. Is it the pole that is the chariot?"

"I did not say that."

"Is it the axle that is the chariot?"

"Certainly not."

"Is it the wheels, or the framework, or the ropes, or the yoke, or the spokes of the wheels, or the goad, that are the chariot?"

And to all these he still answered no.

"Then is it all these parts of it that are the chariot?"

"No, Sir."

"But is there anything outside them that is the chariot?"

And still he answered no.

"Then thus, ask as I may, I can discover no chariot. Chariot is a mere empty sound. What then is the chariot you say you came in? It is a falsehood that your majesty has spoken, an untruth! There is no such thing as a chariot! You are king over all India, a mighty monarch. Of whom then are you afraid that you speak untruth?" And he called upon the Yonakas [Greeks] and the brethren to witness, saying: "Milinda the king here has said that he came by carriage. But when asked in that case to explain what the carriage was, he is unable to establish what he averred. Is it, forsooth, possible to approve him in that?"

When he had thus spoken the five hundred Yonakas shouted their applause, and said to the king: "Now let your Majesty get out of that if you can?"

And Milinda the king replied to Nāgasena, and said: "I have spoken no untruth, reverend Sir. It is on account of its having all these things—the pole, and the axle, the wheels, and the framework, the ropes, the yoke, the spokes, and the goad—that it comes under the generally understood term, the designation in common use of 'chariot.'"[1]

Some two millenia ago, in northwestern India, the Buddhist sage Nāgasena and the Greek king Menander came together to discuss problems of philosophy and religion. In the passage reproduced above, their dialogue enters a territory which has continually given rise to philosophical puzzlement within both the Indian and Hellenic traditions and their offshoots: How are we to understand the mereological structure of matter? What is the relation of the whole to its parts? The answer which Menander finally produces in response to Nāgasena's Socratic questioning is recognizably an early

version of a theory that has not been without its modern proponents: wholes are not entities that exist in addition to their parts; they are merely logical constructions.

In the present paper I shall not be concerned with this ancient logical constructivism *per se*, though I shall seek to indicate something of the manner in which it formed the conceptual background for the development of Vasubandhu's "proof of idealism," which belongs to a more developed phase of Buddhist mereological thought. Before, however, turning to the arguments themselves, some introductory remarks of a general nature are called for.

Vasubandhu, the founder of Buddhist philosophical idealism, has been the object of considerable philological research since the latter part of the nineteenth century. Historical data alone justify the efforts that have been made, for, with the translation of his works into Chinese, Tibetan, and not a few other languages, Vasubandhu's thought became, from about the sixth century onward, a dominant force in central and east Asian intellectual life. Moreover, his substantial contributions to logic, epistemology, and metaphysics are more than sufficient to justify his prominent position in the history of Indian philosophy, even if his impact abroad were totally disregarded. Still, for the philosopher, the relative lack of attention paid by philologists to Vasubandhu's actual philosophy remains an obstacle to study. What Jonathan Barnes has said of the Presocratics may be restated, *mutatis mutandis*, in the present instance:

> ... if the linguistic expression and the historical context of the Presocratics have been exhaustively discussed, the rational content of their thought has been less thoroughly scruntized. By and large, scholars have have asked what the Presocratics said, and what external circumstances may have prompted their

sayings; they have not asked whether the Presocratics spoke truly, or whether their sayings rested on sound arguments.[2]

Two particular difficulties stand in the way of our attempt to formulate a philosophical reconstruction of Vasubandhu's teaching, even after philology makes clear what, exactly, he said.[3] First, he was, like many another classical Indian writer, an elliptical stylist to an extreme degree: Vasubandhu assumed himself to be writing for the beneficiaries of a thorough Buddhist scholastic education in Sanskrit, and so presupposed an audience for whom much could be left unstated. Today, we must fill in the gaps to the best of our ability by relying upon the entire corpus of his surviving work, the writings of others in his tradition, and the demands of reason. In the second place, Vasubandhu, perhaps in part because he was engaged in the difficult task of forging new philosophical tools, does not always achieve the perspicuity for which he certainly aims and which marks the work of several of his philosophical successors.[4] Often, for instance, he will voice an intuition in terms of a concrete example; and it thus remains for the reader to penetrate to the abstract reasoning beneath the surface. With this in mind, then, I offer here an exposition and interpretation of the rational content of Vasubandhu's "proof of idealism."[5]

Let us begin by returning to the conversation between Nāgasena and Menander. The following mereological principles are certainly implied there:

(P1) For all x and all y, if x is a composite material whole and y is a proper part of x, then it is not the case that $x = y$. [Is it the pole that is the chariot?]

(P2) For all x and all $y_1, y_2, \ldots,$ if x is a composite material whole and $y_1, y_2, \ldots$ are the proper parts of x, then it is not the case that $x =$ the *mere sum* of $y_1, y_2,\ldots.$ [Then is it all these parts of it that are the chariot?]

(P3) For all x and all $y_1, y_2, \ldots,$ if x is a composite material whole and $y_1, y_2, \ldots$ are the proper parts of x, then it is not the case that there exists some z such that (i) $x = z$ and (ii) z is discrete from $y_1, y_2,. \ldots$ [But is there anything outside them that is the chariot?]

One possible objection to this scheme may be immediately raised when we consider (P2) alone. True enough, one might say, the whole is no *mere sum* of its proper parts. But is it not, rather, a unified, ordered collection of those parts? One who advances this objection might wish to affirm the following to supplement (P2):

(P4) For all x and all $y_1, y_2, \ldots,$ if x is a composite material whole and $y_1, y_2, \ldots$ are the proper parts of x, then $x =$ the unified, ordered collection constituted by all and only $y_1, y_2, \ldots$ [It is on account of its having all these things … that it comes under the generally understood term … "chariot."]

Now, if a *mere sum* and a *unified collection* are collections of just the same parts *a, b,* and *c,* then what is it that distinguishes them? One way to answer this question is to assume that there is some relation, say of *strong conjunction*, which is to be differentiated from the weaker notion of logical conjunction. With reference to the latter

it is true that for all *x* and all *y*, where *x* and *y* are discrete, concrete, individual things, there is a *mere sum* which is the *logical conjunction* of *x* and *y*. Assuming now the (undefined) relation of *strong conjunction*, we can say that *a, b*, and *c*, in the example above, form a *mere sum* iff *strong conjunction* does not obtain among them; and that they form a *unified collection* iff it does so obtain.

How are we to respond, though, to one who points out that in what has been said so far there is nothing to preclude each of the parts of some whole from being itself a unified collection of parts, each of which is itself a unified collection, and so on, *ad infinitum?* In that case, any material whole must actually have infinitely many material parts, which seems absurd. One hypothesis which avoids this difficulty by denying that any unified collection actually has infinitely many material parts is atomism: namely, the theory which holds that any unified collection actually has only a finite number of material parts. These parts must be thought to be spatially extended (being material), simple (for they do not themselves have parts), and empirically indivisible (for, if empirically divisible, then they must have parts). Let us call such atoms *minimal parts*. And let us further stipulate that for all *x*, where *x* is a composite material whole, there is some set *S* of minimal parts such that (i) *S* has a finite number of members and (ii) each member of *S* is discrete from every other. Then we may restate our four mereological principles as *principles of minimal part atomism* (Pa), thus:

> (Pa1) For all *x* and all *S*, if *x* is a composite material whole and *S* is the set of the minimal parts of *x*, then it is not the case that *x* = any member of *S*.

(Pa2) For all *x* and all *S*, if *x* is a composite material whole and *S* is the set of the minimal parts of *x*, then it is not the case that *x* = the *mere sum* of all members of *S*.

(Pa3) For all *x* and all *S*, if *x* is a composite material whole and *S* is the set of the minimal parts of *x*, then it is not the case that there exists some *z* such that (i) *x* = *z* and (ii) *z* is discrete from all members of *S*.

(Pa4) For all *x* and all *S*, if *x* is a composite material whole and *S* is the set of the minimal parts of *x*, then *x* = the unified, ordered collection constituted by all and only the members of *S*.

These four principles have been implied, if I am not mistaken, by most of the ancient schools of atomism. They admirably preserve many of our ordinary intuitions about the material world; and they burden our ontology with only one putative entity, the minimal part, and one putative relationship, the relation of strong conjunction. Minimal part atomism is thus attractive to some because it retains the metaphysical simplicity of logical constructivism, while refusing to countenance the absurd notion that corporeal substances might be actually composed of an infinite number of extended parts. Still, not a few ancient philosophers found atomism to be a flawed doctrine. Zeno, Aristotle, and Vasubandhu agree in rejecting various theories which explicitly or implicitly embrace minimal part atomism, but their alternatives are, respectively, monism, the theory of extended continua, and idealism.

It is instructive to ponder the considerations which led Aristotle to shun idealism in favor of his continuity theory and Vasubandhu to

make just the opposite move. For the Stagirite, the notion that a body might be "nothing but an appearance" is patently absurd and is tantamount to maintaining that "its constituents are nothings … it might both come-to-be out of nothings and exist as a composite of nothings."[6] If we agree that this is not possibly correct, and reject atomism at the same time, then we have no choice but to seek, with Aristotle, an alternative theory of matter.

Vasubandhu, on the other hand, aims to demonstrate that the atomic theory is *both* false *and* necessary: "atomic distinctions must be supposed; and there can be no simple atom." Wherefore, matter is naught but ideal. Vasubandhu, if he is to make his case, must demonstrate the truth of the premises of a simple *modus tollens* argument:

(1) If material things exist independently of the perceptions in which they are given, then they must be atomic in composition.

(2) But they cannot be atomic in composition.

Therefore, (3) material things do not exist independently of the perceptions in which they are given.[7]

This becomes a "proof of idealism" if supplemented by the following definition:

x is ideal = Df *x* does not exist independently of the perception(s) in which it is given.

The main body of Vasubandhu's argument (sections ii and iii) is devoted to the demonstration of premises (1) and (2). This, however, is preceded by a summary statement of the alternatives to idealism and their defects (section i). The alternatives enumerated are:

(*i*) the whole is a simple "part-possessing form" (*avayavirūpa*);

(*ii*) it is a *mere sum* of atomic parts; and

(*iii*) it is a *unified collection* of atomic parts.

It is important to consider how it is that Vasubandhu intends these to be understood, and how they are to be related to the main body of the argument which follows.

(*i*) The "part-possessing form."

Against the early Buddhist logical constructivism represented in such texts as the *Questions of King Milinda*, the Hindu philosophers of the Nyāya-Vaiśeṣika school posited that the whole is something in addition to the unified collection of its parts.[8] There are two lines along which their doctrine might be interpreted: both the unified collection of parts and the whole actually exist; or only the whole actually exists. The latter line of interpretation suggests an analogue to the Aristotelian continuity theory and is taken up by Vasubandhu in section iii., where he challenges the doctrine of simple, extended

wholes. In section i., however, his target is the notion that the whole exists above and beyond the actually existing parts. Vasubandhu maintains that such a whole is "not apprehended," i.e., its concept is in some sense counterintuitive. How so? Certainly, when we see, e.g., a carriage, we do not see those parts of the carriage which are visible to us and the carriage besides. But I suspect that Vasubandhu intends something more than that, and what it might be I shall try to make clear in what follows.

Assume a given whole to be the conjunction of a unified collection of parts and something x existing above and beyond that collection. This may commit us, of course, to abandon (P3) and its atomist analogue (Pa3). If x is an *abstractum*, then it is difficult to see in what sense it actually *exists* in addition to the unified collection of parts. Indeed, the doctrine of the part-possessing form would, in that case, be nothing but a fancy sort of logical constructivism. If, on the other hand, x is a *concretum*, is it simple or complex? If simple and existing in addition to the unified collection, then we are indeed committed to abandoning (P3)/(Pa3). Now, empirical considerations aside, x obviously can, under these conditions, be thought of as a simple entity which is logically independent of the unified collection. As such, it merits no special discussion apart from the doctrine of simple, extended wholes in section iii. But, if it were deemed *complex* and existing in addition to the unified collection, then the entire mereological puzzle is merely reintroduced with reference to x, and nothing whatever has been gained by its supposition. Finally, should it be assumed that there is a part-possessing form, but that it does not exist in addition to the unified collection, then Vasubandhu is quite correct in asserting that it is nothing discrete from the minimal parts of the unified collection. In short, Vasubandhu seems to maintain that if the hypothesis of the part-possessing form has any

substance to it at all, it can only be according to the continuity theorist's reading of it, and that will be taken up below.[9]

(*ii*) The whole as mere sum.

Vasubandhu's rejoinder to the proponents of this second view —"single atoms are not apprehended"—suggests that he considered this alternative, too, to be counterintuitive. The thoughts which led to our distinguishing mere sums from unified collections and positing the relation of strong conjunction do lend support to Vasubandhu's intuition. Still, the assertion that a doctrine which holds that wholes are mere collections of minimal parts entails our being able to perceive minimal parts *directly* may seem to be excessive. But consider: if wholes *are* mere sums and not even unified collections, then in fact there is no difference between what we ordinarily take to be mere sums and wholes. Nonetheless, there *appears* to be some difference between them. So, wholes are only apparent things, that is, they do not exist independently of the perceptions in which they are given. Thus, even if we do posit noumenal atoms of some sort, as long as they do not form unified collections, we must accept some form of idealism, at least with respect to apparent wholes, which is just what Vasubandhu set out to prove in the first place.

(*iii*) Wholes as unified collections of atoms.

This thesis is to be given thorough consideration in section ii. Note that at this point in the argument, we are left with two viable theories of matter: atomism and the continuity theory. The refutation of these will give Vasubandhu the premises he seems to require.

The refutation of atomism is in two parts: ii.a., in which Vasubandhu argues that the supposition of the conjunction of partless minimal parts entails various absurdities; and ii.b., where he seeks to demonstrate that spatial extension and simplicity are, in any case, mutually exclusive properties. It appears that both arguments are intended to support one and the same conclusion, namely, that the atomist's concept of simple minimal parts is defective and so cannot be made to account for complex wholes.

Section ii.a. requires, I think, that we suppose Vasubandhu to have intended some such argument as:

(1) If there exists an atom which is a simple substance, it must be able to enter into conjunction with other atoms.

(2) But it is not possible for it to do so.

Therefore, (3) there does not exist an atom which is a simple substance.[10]

The first premise, which requires the atomic theory to posit atoms that do form unified collections, and not only mere collections, has been already established. Only the second premise need now be proved. To do so, Vasubandhu presents the atomist with two dilemmas: one arising from the notion of minimal parts conjoining

directly with one another, the second arising from an alternative "molecular" theory of conjunction.

ii.a1. The first dilemma of conjunction.

Consider one partless atom entering into conjunction with six others. Either all occupy discrete spaces, thus:

or else they all occupy the very same space:

"To occupy" a space means here "to fill" that space, and not simply "to fall within" it.

If we grasp the first horn of the dilemma, then surely we are committed to the view that our atoms have parts, for they have discrete parts in contact with discrete atoms. Should we opt for the second alternative, however, we must admit that all the atoms in the group must collapse into the same atom-sized space.

The above, or something close to it, is what I take Vasubandhu to have in mind here. I confess that while the problem posed by the first horn of the dilemma seems to me to be clearly a real difficulty, I am by no means confident in the interpretation of the second. Let us examine it somewhat more carefully.

Is it possible that Vasubandhu had in mind here not extended minimal parts, but unextended points? In that case, the dilemma created in ii.a1. would have us choose between extended atoms, which must have parts in order to conjoin, and unextended material

points, an infinite number of which might "conjoin" without any space being thereby filled. However, I doubt very much that Vasubandhu is entertaining here the idea of there being unextended material points, an omission which, though partially remedied below, might prove to be devastating for his "proof of idealism."[11] At the same time, should we adhere to the first interpretation proposed, which in any case better accords with Vasubandhu's own words, it may be well to ask whether or not the notion of several atoms occupying the very same space is, in fact, problematic. Do the "molecules" formed of the compresent atoms conjoin, or not? What is to prevent all the atoms in the universe from occupying the same space? Is it possible for any two, or more, material things to occupy one and the same space? The second horn of the dilemma calls upon us to consider these questions.

Vasubandhu's own answer to the last question would have certainly been "no."[12] It is one of the properties of matter, as we ordinarily understand it, that no two bits of it can occupy simultaneously the very same space. Any theory that denies this fundamental intuition must be prepared to explain just why it is, then, that *all* the matter in the universe does not simply collapse into the same space. Moreover, should such a theory in some way limit the quantity or number of extended substances that may be compresent, it will be faced with the first question posed above: for, if the "molecules" do not conjoin with one another, we confront again the problem of mere collections; and if they do conjoin, we are left with the puzzle of conjunction itself, but this time with reference to atom-sized clusters, rather than atoms. As Vasubandhu's second dilemma presents that puzzle all over again, in fact with reference to "molecules" and not atoms, it seems not unlikely that he well realized that the second horn of the first dilemma might be taken to be the lesser of the two evils offered, the point of departure for a molecular

theory requiring clusters of atoms to serve as the finest actual parts of coarse matter; though, as seen above, he would not have countenanced the idea that the atoms making up those clusters might be literally compresent.

It was the Vaibhāṣika school of Buddhist realism that, with remarkable genius, developed a molecular theory not clearly susceptible to objections such as those raised in the first dilemma of conjunction; and it is this theory that Vasubandhu attacks in section ii.a2.[13] The Vaibhāṣika theory in its developed form seems to have required unextended points of resistance, indivisible even in thought, falling within, but not filling, given spaces, and at the same time capable of existing only in clusters. These clusters conjoin to form gross matter. This, according to Vasubandhu, merely introduces a new dilemma for the atomist: the cluster must be either the same as, or different from, the atoms which compose it. If it is different, then of what is it a cluster? On the other hand, if it is the same, then for what reason should we suppose it to be capable of conjunction at all, when its atomic parts are not? Surely Vasubandhu is right to object to the notion that the atomic clusters might be discrete from the atoms of which they are composed. Aggregations that are not aggregations of anything are, like dollars worth no cents, meaningless fictions. Assuming, then, that the aggregations are mere collections of unconjoined atoms, can we assume unified collections ever to be generated from them? Vasubandhu found such an assumption wholly untenable. Some contemporary philosophers would, I think, not be so ill-disposed to it.[14] Their views, however, would have to be examined in the light of modern physical theory.

It should be noted, though, that a cogent point-particle theory would mitigate severely the force of Vasubandhu's argument: as long as such a theory cannot be decisively rejected, Vasubandhu's "proof of idealism" is, in fact, no proof at all. Nonetheless, it should not be

forgotten that Vasubandhu aimed to challenge premodern minimal part atomism, not twentieth century particle physics. His conclusion to section ii.a., that his pair of dilemmas has shown the atom to be incapable of conjunction and that, hence, the existence of the minimal part cannot be established, is not at all unwarranted, given the ancient theories upon which he directed his assault.

Section ii.b. Extension and simplicity.

The second argument against atomism is understood to be entirely independent of the first. It is also the argument one most frequently encounters in Western criticisms of atomism: spatial extension and simplicity cannot be properties of one and the same substance.[15] As Vasubandhu plainly puts it, the atom, if spatially extended, "has a front part that is different from its bottom part."[16] It may be recalled that, in formulating the concept of the minimal part, all that was required in addition to extension and simplicity was *empirical indivisibility*. Vasubandhu and most other opponents of minimal part atomism object that as long as the logical possibility of division remains, that is to say, as long as we can conceive of the atom as having parts, the minimal part cannot be simple. This claim will have to be reexamined below in connection with the question of extended, simple wholes, for the notion that having possible parts entails having actual parts is just what the continuity theorist will deny. Still, the objection does succeed in pointing out a certain arbitrariness in the atomist's bringing the process of division to a halt with hypothetical atoms. We are driven, in effect, to choose between the apparent absurdity of infinite division and the continuity theory.

   At this point in the text, Vasubandhu adds a peculiar argument concerning shade and shadow. His intuition may be represented with

the aid of a diagram:
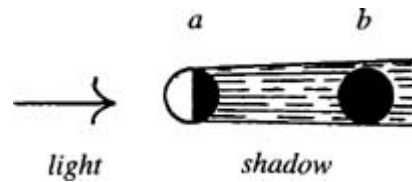
Consider two particles, *a* and *b*, such that *a* is struck by light and *b* is in the shadow of *a*. If we think of a as an extended thing, then we must think of it as having a part that is illumined and a part that is shaded. But if we assume it to be partless this cannot be: the light must either stop short of *a*, or else it must penetrate *a* through and through. If the former, we must explain the light's strange behavior; if the latter, then there is no reason to suppose that the light does not reach *b* as well.

It is obvious that this example is intended only to illustrate the intuition that extended things have parts and, as such, it remains susceptible to the continuity theorist's objections. Moreover, the point-particle theorist can maintain without absurdity that *a* might be an unextended point of resistance at which the light simply terminates, and so need not be troubled by Vasubandhu's example. That Vasubandhu did not seriously consider the implications of the point-particle hypothesis is almost certainly indicated by his equation, in this passage, of resistance with extension: "if no atom whatever has discrete parts, such as might obstruct passage from one place to another, then, in the absence of such obstruction, owing to the co-spatiality of all, an entire cluster must be a mere atom." If atoms are extended, they must have parts; if unextended, the universe is swallowed in a mere point.[17]

Section ii.b. closes with a response to the philosopher who supposes the phenomena of shade and shadow to depend upon atomic clusters, rather than upon single atoms. That supposition

requires the clusters to be discrete from the atoms which compose them; otherwise there is no reason to suppose these phenomena do not depend on the atoms themselves.

Section iii. Against continuity.

The abandonment of the atomic theory leaves intact the data supplied by our physical senses: "So long as the defining characteristics of material wholes are present, does it matter whether their concepts correspond to atomic collections, or not?" After he has denied the atomic theory, the postulate that wholes are complex substances composed of minimal parts, another possibility remains; namely, that wholes are simple, extended continua, possibly divisible, but not composed of *actual* parts. This, of course, is the notion at the heart of both Aristotelian and Nyāya-Vaiçeṣika narcological speculation, a way to avoid the terrible conclusion that a body might be "nothing but an appearance." Vasubandhu calls on four alleged counterexamples in his attack on the continuity theory. They may be presented as follows:

(1) Consider a continuous, extended whole w, which is traversed by a moving object x. If w is simple, then x can at no time have traversed only part of w; hence, x must traverse w not gradually, but in an instant, which is absurd.

(2) Consider a whole w and an observer o, who cannot see all of w. O sees one part of w, but not another; hence w has parts. To

say that he sees w, but does not see w, at one and the same time, is a contradiction.

(3) Consider a continuous field f, with various elephants e, horses h, and cattle c grazing upon it. If f is simple, then e, c, and h are all in the same place, which is again an absurdity.

(4) Consider a little fish f_1 and a big fish f_2, which are similar in all respects, but size. An observer stationed an appropriate distance from f_1 and f_2 will be able to discern f_2, but not f_1. But how is this possible if they have just the same characteristics and the same number of parts?

Are these counterexamples really damaging to the continuity theory? If any one of them is, that will be quite enough for Vasubandhu's purposes. Each requires more careful consideration. In particular, it will be necessary to weigh them against recent Aristotelian suggestions put forth by R. M. Chisholm, e.g., that our "part of" locutions may be replaced by clauses in which "partly" is used as a predicate modifier.[18]

(1) There can be no doubt that a sentence such as "x has traversed part of w" can be rendered, e.g., "w has been partly traversed by x." But what of, "By now x has traversed a larger part of w than it had a minute ago"? We might try something like:

(i) By now w has been partly traversed by x; (ii) a minute ago w had been partly traversed by x; (iii) w is possibly such that it is divided into *either F* and *G, or H* and *I*, but not into *both F* and *G*

and H and *I*; (iv) *F* is (tenselessly) smaller than *H*; (v) if *w* had been divided into *F* and *G* a minute ago, *x* would have traversed *F*; and (vi) were *w* divided into *H* and *I* now, *x* would have just traversed *H*.

The atomist, who can simply say, "By now *x* has traversed numerically more minimal parts of *w* than it had a minute ago," does have the advantage of relative simplicity of expression in this instance. Nor is our example, by any means, a terrifically complex one: the mind boggles to think how an Aristotelian might describe the progress of a number of objects which were traversing the same object along various paths and at different speeds. This is not to say that Aristotle's theory must be false, but was it not advanced in the name of simplicity?

(2) The Aristotelian response to Vasubandhu's second counterexample might be: "*W* is partly seen by *o*, and partly not." Complexity becomes a problem again if we turn our attention to possible translations of fairly straightforward part expressions, such as: "*O* sees part of the red part of *w*, and that part which he sees is partly soiled."

(3) The challenge here is to banish reference to parts from such sentences as: "*E* stands on one part of *f, h* on another part, *c* on another, and there are parts of *f* intervening between, and surrounding, the parts on which *e, h*, and *c* are standing; and on those parts there is nothing at all."

Intricate juggling of the "possibly such that it is divided" locution may enable the Aristotelian to accomplish the appropriate translations in (2) and (3)—I leave it for the reader to experiment—without loss in meaning. Certainly, a great harvest of convoluted expression may be reaped in this fashion.

(4) Vasubandhu's final counterexample is quite strange, and I am not at all certain that I have grasped his meaning.[19] The point seems to be that difference in size between similar objects is explicable in realist terms only by either the assumption that the objects have different quantities of minimal parts, or the assumption that relations among their respective parts somehow differ. But if things have no parts, there can be no such differences. If this is so, then distinctions of size become unintelligible. Now, if there is any truth to this, it will be somewhat more troublesome for the Aristotelian than counterexamples (l)–(3); for, as we have already seen, any spatially extended whole, of whatever size, has precisely an infinite number of potential parts. Thus, the doctrine of possible division cannot be meaningfully invoked here; that is, if the number of, or relations among, minimal parts are fundamental to difference of size, then only actual parts will do. The intuition is, I think, clarified if we consider a possible universe, along lines suggested by Max Black, containing only two spheres similar in every respect except size: both have infinite possible parts, and the relations among these parts are in every aspect similar. Of course, one might posit absolute space, and go on to ground size difference in the relations that hold between possible parts and points in absolute space, but this would necessitate possible parts having actual relations, and would require the supposition of real atomic points as well. So it is not clear that we have thus gained any ground.

"But is not, say, 'bigger than' a primitive relationship? Is it not simply the case that the one sphere is bigger than the other?"

If "seeming bigger than" is what is meant here, then of course it is a primitive relationship holding between phenomenal objects—even the idealist can agree to that! But phenomenal relationships, in the absence of other considerations, imply nothing ontologically; they merely tell us something about how things appear to perceivers. On

the other hand, it is not nearly so clear that "*being* bigger than" is, in fact, a *primitive* relationship. Imagine that the aforementioned two spheres are in far distant corners of the universe. In the region possessing the smaller sphere, matter is more dense, gravitational conditions are different, and so the people are "smaller" than in the region that has the larger sphere. Scientists from the two regions make radio contact and discuss their respective spheres. Incredibly they conclude that both spheres are two yards in diameter and weigh 1500 pounds.

"The fact that the scientists cannot *know* that there is a size difference hardly goes to show that there *is not* one."

True enough, but minimal part atomism does permit knowledge, too, in this instance. If atoms are similar throughout the universe, then eventually the scientists will discover differences between the spheres and realize that they had been mistaken up until that time. And is not a science that corresponds to *being* preferable to one that does not?

At this writing, I am not at all certain that Vasubandhu's four counterexamples can be made to do the work demanded of them, i.e., demonstrate that, on the assumption that matter is real, atomism necessarily follows. They do, however, underscore several of the difficulties which must be resolved by the continuity theory, if it is to be made capable of fully expressing our commonplace intuitions with respect to parts and wholes.

Vasubandhu sought to prove idealism by demonstrating, like Kant, that our concept of composite material wholes necessarily entails there being simple, atomic substances and that atomism is false. In so doing, he, no less than the latter, underestimated the potential strengths of the continuity theory and the point-particle theory. It may be asked: Would even a fully successful argument of this type

be sufficient to demonstrate the truth of idealism? It is of interest to remark that, among Vasubandhu's successors in the Buddhist tradition, few seem to have thought so: Dharmakīrti, for example, though probably leaning in favor of some form of idealism, saw in Vasubandhu's mereological argument at best a supplement to profounder epistemological arguments for idealism;[20] and Śāntarakṣita, who refined Vasargument to a greater degree than did any other classical Indian thinker, saw here not a "proof of idealism," but a step on the way to a near total rejection of speculative metaphysics.[21] Still, Vasubandhu must be credited with making significant progress in the development of Indian narcological thought and with constructing not a few puzzles, for which decisive answers are wanting even today.

I have endeavored here to provide a clear and critical account of Vasubandhu's chief argument in support of an idealist ontology, an argument that represents but one aspect of a richly elaborated philosophical system, which merits more thorough *philosophical* interpretation overall than it has received to date. It is my own conviction that the value of such inquiry derives not from the discovery that, for instance, the ancient Indian philosopher in question was in his musings particularly right or wrong. What is of interest is that he mused on these matters at all. When we begin to appreciate Vasubandhu's insights from the vantage point of our own philosophical understanding, what is most human about us leaps through centuries, rushes across continents, and greets what is most human in what had formerly been other. We meet Vasubandhu face-to-face, incline toward one another, and commune in our perennial capacity to puzzle over what is real.

i. *Rejection of possible alternatives to idealism* (v. 11).

How, moreover, can it be known that the Transcendent Lord spoke of the existence of the domain of form with this intention,[23] and that no object of any particular perception of form, etcetera,[24] does, in fact, exist?

v. 11 **The object is not simple,**

Nor is it atomically complex,

Neither is it an aggregation;

For the atom cannot be proven.

What does this assert? Whatever, in the domain of form, etcetera, may be an object of a particular perception of form, etcetera, is possibly either (*i*) a part-possessing form, as conceived by the Vaiśeṣikas; or (*ii*) atomically complex; or (*iii*) an aggregation of the atoms together. But (*i*) the object is not simple, because there is no apprehension whatever of a part-possessing form discrete from the parts; (*ii*) neither is it complex, because single atoms are not apprehended; and (*iii*) their aggregation is not the object, for the atom *qua* simple substance cannot be proven.[25]

ii. *Refutation of atomism* (v. 12–14).

ii.a. *Refutation of the atomist supposition of the conjunction of partless minimal parts* (v. 12–13).

ii.a1. *A dilemma for one who affirms the conjunction of such minimal parts* (v.12).

Why can it not be proven? Because:

v.12ab **Owing to the simultaneous conjunction of six,**
The atom must be six-parted.

If there be simultaneous conjunction with six atoms from six directions, then the atom must be six-parted; for in the place of one there cannot be another.[26]

v. 12cd **If the six occupy the same place,**
Then the cluster must be a mere atom.

Now, let the place of one atom be that of six. In that case, because all occupy the same place, the entire cluster must be a mere atom; for they do not exclude one another. Thus, no cluster whatever is found.

ii. a2. *A dilemma for those who posit the conjunction of aggregations (v. 13).*

The Kāśmūri Vaibhāṣikas, to avoid the fault implicit in painlessness, namely, that the atoms cannot conjoin, maintain that the aggregations conjoin with one another. Let us demand of them whether or not the aggregations of atoms be objects discrete from those (atoms).

v. 13ab   **If not a conjunction of atoms,**
           Their aggregation is that of what?

"That" here stands for "a conjunction."

v.13cd   **It is not merely owing to partlessness**
           That their conjunction cannot be proven!

Now, should it be that the aggregations, too, do not conjoin with one another, then let it not be said that partlessness is the reason that the conjunction of atoms cannot be proven; for the conjunction of aggregations which have parts cannot be affirmed.

ii.a3. *Conclusion of* ii.a.

Therefore, it cannot be proven that the atom is a simple substance.

ii.b. *The incompatibility of spatial extension and simplicity* (v. 14).

Whether the conjunction of atoms be affirmed or denied:

v.14ab   **That which is spatially extended**
           Cannot be simple.

If the atom be spatially extended—that is, e.g., if it has a front part that is different from its bottom part—how can an atom of such nature be simple?

v.14c   How can there be shade and shadow?

If not a single atom is spatially extended, then, when the sun is shining, how is it that in one place there is shade, while there is sunlight in another? (Under such circumstances, the atom) does not, after all, have other parts that are *not* struck by the sunlight. And how can one atom be in the shadow of another, if spatial extension be denied? Moreover, if no atom whatever has discrete parts, such as might obstruct passage from one place to another, then, in the absence of such obstruction, owing to the cospatiality of all, an entire cluster must be a mere atom, as has already been asserted.

But do you deny that shade and shadow are of the cluster, rather than of the atom?

Are you, then, maintaining them to be of a cluster which is discrete from the atoms? That cannot be, for:

v. 14d   If the cluster be not discrete,
they are not of it.

If the cluster is not held to be discrete from the atoms, then it is established that they (shade and shadow) are not of it (the cluster).

iii. *Refutation of the doctrine of simple, extended wholes* (v. 15).

So long as the defining characteristic of form, etcetera,[27] is not negated, does it matter whether or not the constructed idea (of a particular form corresponds to) atom or aggregation?[28]

What, then, is their defining characteristic?

"Being an object of the eye, etcetera" and "being blue, etcetera."[29]

This must be examined: Is that blue, yellow, or other, which is held to be the object of the eye, etcetera, a simple substance, or is it complex?

What are you driving at?

The fault of complexity has already been stated, and:

v.15 **If it be simple, there cannot be gradual motion;**

Neither is simultaneous apprehension and nonapprehension possible;

Neither can there be separate, varied presence

Nor can there be unseen minuteness.

If one imagines that, so long as the visual object (blue, yellow, etc.) is unbroken, it is not many, but is one substance, then gradual traversal of the earth becomes impossible, "traversal of" meaning "motion across"; for a single step would have to traverse the whole.

Neither could there be apprehension of the near part (of some object) simultaneous with nonapprehension of the far part. At that time, its apprehension and nonapprehension is impossible.[30]

Neither could there be the presence in a single place[31] of separate and varied elephants, horses, and so forth; for, if one be in the location of another, how can they be held to be separate? How is it

that (the places) they occupy and do not occupy are one, when empty space is apprehended between them?

Moreover, minute aquatic creatures having the same features as large ones would not be imperceptible if discreteness of substance were known only through characteristic difference, and nothing else.[32]

iv. *Conclusion*

Therefore, atomic distinctions must be supposed and that (atom) is not proven to be simple. It being unproven, it is not proven that forms, etcetera, are the objects of the eye, etcetera. Thus, it is proven that they are mere perceptions.

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Notes

[1] T. W. Rhys Davids (trans.), *The Questions of King Milinda*, pp. 43–44, in F. Max Müller (ed.), *The Sacred Books of the East*, Vol. XXXV (Oxford, 1890). The Graeco-Bactrian king Menander (Pali: Milinda) reigned during the latter part of the second century B.C. His dialogues with Nāgasena were not set down until a somewhat later date and have little historical value. In particular, they offer no dependable evidence of possible philosophical exchange between Greece and India. Arguments based on the dissection of a thing into its constituent parts were well known in India from at least the first half of the first millenium B.C. Cf. Steven Collins, *Selfless Persons* (Cambridge: Cambridge University Press, 1982), pp. 78–84, and *passim*. Several centuries prior to the age of Menander, the elements of the person had already been metaphorically compared to the parts of a chariot, including horses and driver, in *Kaṭhopaniṣad*, III.3ff., and in many of the early Buddhist *suttas*.

[2] Jonathan Barnes, *The Presocratic Philosophers* (London, 1979), vol. I, p. ix.

[3] This is not to say that philology has in fact already completed its work in this case. On the contrary, we still face the vexing problem of whether the name Vasubandhu was that of one philosopher or of several. Nonetheless, the text studied in this essay is unquestionably well enough established for present purposes.

[4] I am thinking chiefly of the brilliant line of logicians beginning with his disciple Dignāga.

[5] Quotations from Vasubandhu given below are based on my own translation, which is appended. I have, however, allowed myself some liberties in the body of the paper to avoid the more stilted style of the appendix, reference to which is given by means of the lowercase Roman numerals used in the section headings.

[6] Aristotle, *On Generation and Corruption*, Bk. I, Ch. II, 316a. 25–30. Cf., also, Fred D. Miller, Jr., "Aristotle Against the Atomists," in Norman Kretzmann (ed.), *Infinity and Continuity in Ancient and Medieval Thought* (Ithaca: Cornell University Press, 1982), pp. 87–111.

[7] Vasubandhu, unlike many of his successors, seldom gives clear syllogistic expression to his arguments. Hence, reconstructions like this one may only be given with some reservations. The conclusion (section iv.) of Vasubandhu's discussion, however, comes very close to setting out the present syllogism in unambiguous terms.

[8] The best discussion of Nyāya-Vaiśeṣika mereology to date will be found in Karl H. Potter, *Encyclopedia of Indian Philosophies; Indian Metaphysics and Epistemology : The Tradition of Nyāya-Vaiśeṣika up to Gaṅgesa* (Princeton, 1977), pp. 741E4786, and passim.

[9] One question not raised here is: Even if the whole is not a substance in addition to the unified collection of parts, is it not still true that the whole is something more than the sum of its parts? I see no objection, from Vasubandhu's standpoint, to the notion that a unified collection might have properties which neither its individual parts, nor any mere collection of those parts, might have. Strong conjunction is, in fact, just one such property.

[10] The considerations mentioned in n. 7 apply here as well.

[11] I think it at least questionable whether Vasubandhu ever did, in fact, seriously entertain the notion of unextended material points. It is referred to explicitly in none of his works, so far as I know. His commentators who do mention it, e.g., Samghabhadra and Yasomitra, may have posited such points in an attempt to formulate a realist response to Vasubandhu's idealism. See below, n. 13, as well as section ii.b., v. 14c.

[12] Y. Karunadasa, *Buddhist Analysis of Matter* (Colombo, 1967), pp. 12–14, especially p. 13: "Where there is one *sapratigha* [resistant] object there cannot be (at the same time) another." Karunadasa here bases his statement on works of Vasubandhu and his commentators.

[13] In my discussion, I interpret Vasubandhu *as if* he were addressing himself to a fully developed form of the theory in which atoms are supposed to be unextended. As has already been noted, however, *that* form of the theory may well have postdated Vasubandhu. Here, his concern was probably an earlier version which postulated conjunction, not among atoms, but among clusters of unconjoined, simple, but extended atoms.

14 Cf. C. D. Broad, *Kant—An Introduction* (Cambridge, 1978), p. 224: "I do not see the slightest objection to the view that every body occupies the region which it does occupy *only discontinuously.*" Similarly, P. F. Strawson, *The Bounds of Sense* (London, 1966), p. 184: "there would be no contradiction or absurdity in a physical theory according to which a composite material body was made up of a finite number of simple and unextended point-particles each of which was the sole occupant of a part of the space occupied by the material body as a whole." Strawson's theory, however, allows for the formation of unified collections; for each particle might "exert some causal power throughout the region of space of which it was the unique occupant."

15 Cf., e.g., Jonathan Barnes, *The Presocratic Philosophers*, vol. I, ch. XII; Aristotle, *Physics*, 231b. 15; and the antithesis of Kant's second antinomy.

16 Compare Pierre Bayle: "every extension, no matter how small it may be, has a right and a left side" (quoted in James Van Cleve, "Reflections on Kant's Second Antinomy," *Synthese*, 47 (1981), p. 483).

17 A. L. Herman, in his recent *An Introduction to Buddhist Thought* (Lanham, MD: University Press of America, 1983), pp. 336–40, has attempted an analysis of Vasubandhu's attack on atomism which, I believe, is flawed. Rather than undertake a point by point critique of Herman's discussion, it will be sufficient to regard only his proposed counterargument addressed to Vasubandhu's argument from shadow and shade, for it seems to me that most of Herman's difficulties are revealed by a consideration of this one short passage:

> The realist defender of atoms, whoever he may be, is in a good position to attack the apparently devastating dilemma of atomism with a plausible and sensible counter-dilemma of his own. Let's call it "counter-dilemma of atomism":
>
> 1. If the atom (or an aggregate) has spatial divisions then there would be shadows, etc.
> 2. If the atom (or an aggregate) has no spatial divisions then it can be a unity.
> 3. But the atom (or an aggregate) either has spatial divisions or it has no spatial divisions.
> 4. Therefore, either there are shadows, etc., or there is a unity, either of which is perfectly sensible.
> 5. Therefore, the atomist's position is perfectly sensible and not absurd.
>
> As things stand, who is to say which dilemma or counter-dilemma, Vasubandhu's or the atomist's, is the most defensible? Thus the atomist's possible reply to Vasubandhu.

It should be clear that Herman has got himself into a muddle here by, among other things, completely failing to understand Vasubandhu's first dilemma of conjunction (ii.a1. above); for his third premise asserts precisely what Vasubandhu there refuted. Neither has he, in speaking of "a unity," drawn any distinction whatsoever between the unity of a continuous whole, that of an extended minimal part, and that of a point-particle, which distinction, as I

indicated above, does in fact reveal the weakness in the argument from shadow. This being so, it is altogether unclear just how his fourth step provides us with sensible alternatives. I ignore here several purely formal flaws in the argument, which require only relatively simple reformulation.

[18] On this, see J. Van Cleve, "Reflections on Kant's Second Antinomy," p. 490.

[19] A somewhat different interpretation may be found in C. Hamilton, *Wei Shih Er Shih Lun* (New Haven, 1938), p. 57, n. 103: "On the hypothesis of unity, each occupying subject must fill the whole of the place occupied. Hence in a single body of water each animalcule would have to be equal to the whole. Consequently small and large would be of the same measure —an absurdity."

[20] Dharmakīrti, *Pramāṇavārttika*, ed. Svāmī Dvārikādāsaśāstrī, Bauddha Bhāratī Series (Vārāṇasī, 1968).

[21] Śāntarakṣita develops the argument at great length in his "Examination of External Objects" (*Bahirarthaparīkṣā*), in his *Tattvasaṃgrahaḥ*, vol. 2, ch. 23, Bauddha Bhāratī Series 2 *(Vārāṇasī, 1968). He applies it to the general critique of substantialist theories in his Ornament of the Middle Way (Mādhyamakālaṃkāra)*, which, with its commentaries, survives now only in Tibetan translation (Tohoku 3884ff.).

[22] In translating this passage from the Sanskrit, with reference to the eighth century Tibetan translation, I have utilized the following texts and earlier translations: L. de la Vallée Poussin, "Viṃśakakārikāprakaraṇa," in *Le Muśeon* (Louvain, 1912), pp. 53–90; S. Lévi, *Vijñaptimātratāsiddhī* (Paris, 1925); Idem., *Materiaux pour l'étude du système Vijñaptimātra* (Paris, 1932); Clarence H. Hamilton, *Wei Shih Er Shih Lun* (American Oriental Series, vol. 13, New Haven, 1938); N. Aiyaswami Sastrin, *Viṃśatikā* (Gangtok, 1964), K. N. Chatterjee, *Vijñaptimātratāsiddhi* (Varanasi: Kishor Vidya Niketan, 1980); Mrinalakanti Gangopadhyaya, *Indian Atomism* (Atlantic Highlands, NJ: Humanities Press, 1981).

[23] The Buddhist idealist must argue that the references to material objects made by the Buddha in his discourses are intended not as metaphysical declarations concerning the real order of things, but merely as popular expressions, conforming to philosophically uninformed convention.

[24] "Form, etcetera" = "visual objects and the objects of the remaining four physical senses."

[25] "Cannot be proven" (*na sidhyati*) = "cannot be shown to exist," or "is an inadmissible hypothesis."

[26] *kasya yo deśaḥ tatrânyasyâsaṃbhavāt*, cf. n. 12 above.

[27] See above, n. 24.

28 *Sannivésaparikalpa eṣaḥ*, the Sanskrit phrase with which this passage opens, rendered *here as "the constructed idea," is somewhat obscure, as is its Tibetan translation at this point. See Hamilton's note on it (Wei Shih Er Shih Lun, p. 53, n. 93), and Sastrin's remarks based on* the gloss of Vinītadeva (*Viṃśatikā*, pp. 47–48, n. 50).

29 This is, of course, an abbreviated, enumerative definition: physical things are considered by Buddhist realism to be possibly such that they are objects of the five senses, or possibly such that they instantiate the properties that are perceived by those senses. See, e.g., Karunadasa, *Buddhist Analysis of Matter*, ch. I.

30 *na hi tasyâiva tadānīṃ grahaṇañ câgrahaṇañ ca yuktam*.

31 The Sanskrit text reads *anekatra* "here and there," but this is to be emended to *ekatra* "in a single place"; cf. the Tibetan *gcig-na*, "in one place."

32 Compare Hamilton's translation of Hsüan Tsang's Chinese version: "Moreover there should also be no such scarcely perceptible tiny things as water animalcules, because being in the same single space with the coarse things they should be of equal measure," *Wei Shih Er Shih Lun*, p. 57.

Bimal Krishna Matilal Causality in the Nyāya-Vaiśeṣika school

Causality implies a host of philosophic problems which are pertinent to different branches of philosophical studies. My aim here is, however, a modest one. While explaining the notion of cause as it was understood by different philosophical schools of classical India, I shall try to show that (a) concern for the notion of causation was taken more seriously in some Indian philosophical schools than it had been in some of their Western counterparts, and (b) that the meaning of 'cause' (*kāraṇa*) is much wider in Indian philosophy than it is in the West.

To substantiate the second point first, I shall first very briefly refer to the classification of 'causal conditions' as found in the *Abhidharmakośa* of Vasu-bandhu and then to another classification found in the Vaiśeṣika school. Two different terms, *hetu* and *pratyaya*, are used to cover all causal notions in the Abhidharma system. There is, however, no essential difference between these two concepts, the six types of *hetu* being included under the broader notion of *pratyaya*.

The *Abhidharmakośa* first explains six types of *hetu*, of which the first is called the *kāraṇa-hetu*, the 'prototype' of a *hetu*. The definition of a *kāraṇa-hetu* reflects the attitude of the Abhidharma school toward the general notion of cause. In fact, to be a cause in this sense means to exist without being a 'hindrance' (*vighna*) to the production of the effect in question. Thus, if *x* is a *dharma* that originates, then any *dharma* other than the 'own-being' (*svabhāva*) of it may be called its *kāraṇa-hetu*.[1]

Four types of *pratyaya* are: (1) *hetu-pratyaya*, (2) *ālambana-pratyaya*, (3) *samanantara-pratyaya*, and (4) *adhipati-pratyaya*. Of these, the first includes the 'remaining' five *hetus* in the foregoing classification while the last includes the 'prototype', that is, the *kāraṇa-hetu*.[2] The second and the third are found useful only with regard to the states of consciousness. The *ālambana* is the 'causal basis', that is, the object, of a particular state of consciousness which is regarded as an effect or event. The *samanantara* is the 'causal precedent', that is, the preceding moment of consciousness conditioning the succeeding moment. It should also be mentioned that in the remaining five *hetus* (a discussion of which I will skip here) of the six types mentioned earlier are included *hetus* like a *sahabhū hetu*, where two *dharmas* originating simultaneously are said to mutually condition each other.

This breathtaking classification of the *Abhidharma* will be enough to show *hetu* or 'cause' is being used here in its widest possible sense. It is sometimes pointed out that we should not probably translate *hetu* or *kāraṇa* in this context as a 'cause' or a 'causal condition'. But I am in favor of retaining such translations simply because such terms as '*hetu*' and '*pratyaya*' mean almost the same thing (and, by the same token, share the same ambiguity) in ordinary Sanskrit as terms like 'cause' and 'causal condition' do in ordinary English. It is a philosopher's privilege to use an ordinary term in a highly specialized sense.

If to cause an effect in the *Abhidharma* means not to obstruct the production of that effect (that is, that *dharma*), to cause an effect in the Vaiśeṣika system means to be its immediate (and 'unconditional') antecedent. The Vaiśeṣikas speak of a causal substrate or a 'substantial' cause (*samavāyikāraṇa*) which is the substance where the effect occurs (through the relation of inherence). Ordinarily, this is the material cause of an effect, even comparable to the 'material'

cause in the fourfold division of Aristotle. But strictly speaking, this is a wider notion in the Vaiśeṣika system, since such 'nonmaterial' substances as the soul and the physical space are said to be causal substrates of suitable effects. For example, a state of consciousness as an event is said to occur in the soul (that is, the person) which is its causal substrate.

All causal conditions other than the causal substrate that are relevant to the effect are classified by the Vaiśeṣikas into two groups: *asamavāyin* cause (non-substantial, literally 'noninherent' cause), and the *nimitta* 'efficient' cause. The former forms an artificial group which includes only qualities (and relational qualities like 'conjunction' *saṃyoga*) that *inhere* in the causal substrate and are causally relevant to the effect.[3] For example, color of the threads causes the color of the cloth, or conjunction of different parts of a table causes the table in this manner. The group of 'efficient' cause includes everything else that is causally relevant to the effect in question. Thus, the potter, along with the potter's wheel, rod, water, etc., is called the 'efficient' cause of the effect, pot. Aristotle's notion of the 'efficient' cause, in a liberal interpretation, can match this Vaiśeṣika notion. But nothing like Aristotle's notion of the 'final' cause or the 'formal' cause can be found in the Indian schools.[4]

The distinction of a 'nonsubstantial' cause from the group of efficient causes seems to be artificial. It was probably based upon the awareness that as long as the effect, the color of a cloth, exists its 'nonsubstantial' cause (that is, the color of the threads) should, like the causal substrate, also exist. But an 'efficient' cause like the potter's wheel may wither away (after the effect is born) without affecting the effect in any way. In other words, the father may die after the son is born, but what inheres in the son's body and limbs must stay as long as the son is alive.[5] A notion parallel to that of a

'nonsubstantial' cause of the Vaiśeṣikas is hard to find in the Western tradition.

Concern for a causal notion was fundamental in almost all schools of Indian philosophy. We should remember that philosophic activity in India arose out of the cosmogonie speculations of the Vedas and the Upaniṣads. The all important business of philosophy was to attempt to discover some simple, unitary cause for the origin of this complex universe. Various alternative theories were propounded from the very early period, as is well evidenced in the passages of the Śvetāśvatara Upanisad, and in the *Nyāyasūtra*, chapter 4.[6] Some of the main views about the original cause of the universe were: (a) time, (b) nature or 'own-nature', (c) *pradhāna* 'the unmanifest' matter, (d) god, (e) atoms, and (f) cyclical dependent origination. Of these, I shall briefly allude to the three important views, the Sāṃkhya, the Buddhist, and the Nyāya-Vaiśeṣika views.

The earliest critique of the notion of cause is to be found in India in the *satkāryavāda* doctrine of the Sāṃkhya school, which was historically the earliest of Indian philosophic systems. The doctrine means that the so-called effect preexists in its cause, causation being merely a change of transformation from one state to another while the original 'thing' (cf. *dharmin*) remains constant and unchanging. An effect means a change in only the attributes or characteristics of the thing, a new state of affairs means manifestation of what was *potentially* present (cf., *sat*) in the early state of affairs, that is, in its so-called cause.[7] The Sāṃkhya metaphysics posits an ultimate, original matter, the *pradhāna* or *avyakta* (the 'chief or the 'unmanifest') from which the whole material world evolves. It is also admitted that the potential becomes actual at every moment and thus transformation of the world is automatic and instantaneous. This aspect of the Sāṃkhya theory might have influenced the Buddhist doctrine of universal flux.

The Buddha's doctrine of impermanence (*anityatā*) was developed by the later Buddhists as the doctrine of universal flux. Causation in Buddhism is spanned by its doctrine of conditioned (or dependent) origination (*pratītya-samutpāda*). In Abhidharma, for example, every *saṃskṛta dharma*, that is, every effect, is said to originate merely depending upon what is called its *pratyaya* (or *hetu*). Like the empiricist in the West, the Buddhists reduced causal dependence to nothing more than a mere sequence, a very loose relation usually expressed in the formula: if *x* is, *y* arises (cf., *asmin sati idaṃ bhavati hrasve sati dīrghaṃ yathā*). The Mādhyamikas rejected the notion of *savabhāva* 'own-being' of things as well as origin (*udaya*) and decay (*vyaya*) of things (*bhāvas*).[8] Thus, they might have paved the way for the doctrine of non-origination (*ajāti-vāda*) of Gaudapāda.[9] The popular belief that an effect is brought about by its causes is reduced to an absurdity by the Mādhyamika dialecticians.

The doctrine of universal flux is the result of the Buddhist rejection of the notion of *potentiality*. To be causally potent means here only actual production of the effect. Everything is in a flux, there being so stability (*sthiratva*). Causation is simply incessant succession of events. Unlike the Sāṃkhya, the Buddhists rejected the notion of any unchanging core of things, any unchanging *dharmin* underlying the seeming fluctuations.[10]

The Nyāya-Vaiśeṣika school opposed the Sāṃkhya by its doctrine of *a-sat-kārya-vāda*, according to which an effect is a new creation, and hence numerically different, from its cause. The description of causation in this school is closer to the commonsense view of a cause. True to the spirit of empiricism, causal relation is described here also as one of invariable sequence. Udayana asserted, in answer to the skepticism about causality, that a causal explanation of an event is needed unless we want to settle for a total accidentality or 'whimsicality' of everything. A particular effect happens at a

particular moment, not always. This is what is called the 'temporality' (*kādācitkatva*) of an effect, and this temporality implies dependence of the effect upon something other than itself. Causal relation is nothing more than this obligatory dependence.[11]

The Nyāya school rejected also the notion of *śakti*, 'power', 'efficacy' or 'force', connected with causation. The Mīmāṃsakas, being consistent with the common belief, argued in favor of an efficacious power or *śakti* present in the cause to produce the effect —a power which can be destroyed by the presence of an 'antidote' (*pratibandhaka*) and can conceivably be resuscitated by an 'antidote to the antidote' (cf., *uttejaka*). Thus, fire burns because of its power to burn—a power which either can be destroyed or resuscitated under suitable conditions. While refuting the notion of *śakti*, Udayana solved the problem presented by the influence of antidotes by boldly asserting that causation implies presence of not only 'positive' causal conditions but also of relevant 'negative' conditions. For a particular effect to happen, the *absence* of the relevant antidote is also needed as one of its causal conditions.[12]

The Navyanyāya treatment of causation is interesting in many ways. The notion of invariable sequence is explained as holding between generalities rather than between particular events. Thus, Śaśadhara defined a cause as one belonging to a class, individual members of which invariably precede individual members of another class, the relevant effect-class (cf., *kāryaniyatapūrvavṛtti-jārīyatva*).[13] A potter's wheel is said to be a cause of a particular pot because it belongs to the class of those wheels, members of which are *seen* to precede invariably the production of members of the pot-class. The notion of invariable sequence is, however, to be derived from experience, from what is called *anvaya* and *vyatireka* (seeing cases of association and absence).

Although in rejecting the notion of 'efficacy' or 'power' Nyāya resembled the position of David Hume, the doctrine of invariable sequence was not propounded here exactly in Humean spirit. For Hume, it is only the mind that spreads itself on external objects and conjoins them as cause and effect while nothing really exists between them to be so conjoined.[14] This is more like the Buddhist view than the Nyāya view. For Nyāya, invariable sequence is discovered by the mind but it exists between extramental realities like universals or class characters. Perhaps Nyāya shuns the Humean empiricism while it asserts its doctrine of real universals. In fact, although the early Nyāya-Vaiśeṣika doctrine of universal was modified by Navyanyāya, it still maintained that certain class-characters were real in order to explain, among other things, the relation of cause and effect.[15]

Thus, it was felt in Navyanyāya that the criterion of invariable sequence was not enough for distinguishing causal conditions of a particular effect. For example, the production of a pot is preceded invariably not simply by the potter's wheel but also the color and circularity of the potter's wheel. But the color of the wheel is immaterial and irrelevant to the production of the pot. To exclude such irrelevant items from being considered as causes of the particular effect in question, such Navyanyāya authors as Śaśadhara and Gaṅgeśa introduced the notion of what they called *ananyathāsiddhatva* 'unconditionally'. The invariable presence of the color of the wheel before the pot is produced is *conditioned* by the presence of the wheel itself, and hence it need not be taken into account while we consider the relevant (causal) conditions for the effect in question. By same token Navyanyāya excludes the cause of a cause from being considered as a cause of a particular effect. This takes care also of a conceivable case where each time a pot is produced on the potter's wheel, a donkey always walks by

immediately before the event. Experience of invariable sequence may demand that we construe the two events as causally related. But Nyāya claims that the 'unconditionally' criterion can save the situation since it is possible to find a reasonable explanation of each case of such appearances of a donkey. If such reasonable explanation is found, the donkey's appearance will no longer be an 'unconditional' antecedent.[16]

If the Navyanyāya analysis of the causal relation seems to be somewhat embarrassing to a Humean empiricist, we may introduce here a brief discussion of some contemporary problems of causation. David Hume's critique of causality brought into focus two important questions in contemporary philosophy. The first question is: whether there is, after all, any necessary connection between a cause and its effect? The second, and perhaps more basic question is: whether the notion of cause is at all a viable concept in philosophy, useful for explanation and understanding of what are called 'events'?

Because of the muddle and complexity associated with the notion of 'cause', some modern philosophers (notably Bertrand Russell) despaired of making any sense of the word 'cause', and hence recommended "its complete extrusion from the philosophical vocabulary."[17] The rise of modern theoretical physics, some doctrines of which throw doubt even upon the once universally acclaimed *universality principle of causation* (the principle that states, "every event must have a cause"), has contributed further to the modern despair about the notion of cause. But whatever may be the situation in theoretical and higher physics, it is almost undeniable that the concept of a cause is quite useful in the common affairs of life, in applied technology, in moral fields, in law and jurisprudence. Thus, I believe a philosopher can hardly afford to be totally indifferent to this concept. It will be enough to point out here that respectable modern philosophers such as A. J. Ayer, R. G. Collingwood, C. J.

Ducasse, and G. E. van Wright, have found the concept of causality to be useful.[18]

Modern despair about the notion of cause can partly be ascribed to Hume's rigid demand for the empirical analysis of causation. Hume used the notion of similarity or resemblance in giving an empirical explanation of cause. A cause is defined as "an object precedent and contiguous to another, and where all the objects resembling the former are placed in a like relation of priority and contiguity to those objects, that resemble the latter."[19] Unfortunately the notion of similarity invites a number of philosophic problems in empiricism. For one thing, an event today must be similar to an event of yesterday in some *essential* respects in order to be caused by a similar cause. We may recall that Navyanyāya introduced the notion of real universals or class character. To avoid this quandary of empiricism, a follower of Hume might argue that similar effects, in order to have similar causes, must be similar only in certain crucial or relevant respects. It is, however, easy to see that the notion of such "relevance" cannot be explained without resorting to the causal notion, and thus it will involve us in a circularity.

The question of relevance may enter in the discussion of causal relation in another way. If, following Hume, the notion of necessity is completely eliminated and causation is reduced to mere invariable sequence, then, as Thomas Reid pointed out against David Hume, we will have to admit that day is the cause of night and vice versa, since day is seen to be invariably followed by night and night by day.[20] J. S. Mill referred to this criticism of Reid and defended Hume by introducing the notion of 'unconditionally' in defining the notion of cause. Mill argued as follows: "If there be any meaning which confessedly belongs to the term, it is *unconditionalness* ‖. The succession of day and night evidently is not necessary in this sense. It is conditional on the occurrence of other antecedents."[21] Since it is

conceivable that there could be circumstances (for example, sudden stopping of the rotation of the earth) under which day will not be followed by night and vice versa, Mill said, the two are *not unconditionally* conjoined and hence not causally connected. It is unfortunate that Mill here abandoned, quite unconsciously, the very point of the empirical analysis of Hume, and reintroduced the notion of necessity disguised as 'unconditionality'. Besides, if, as Mill explained, conceivability of the circumstances under which a known invariable sequence may not follow is enough to upset the causal connection between events, then very few events could be said to be causally connected.

Mill's own explanation of the 'unconditionally' criterion was thus hardly satisfactory. However, one may justify the 'unconditionally' criterion in order to distinguish irrelevant antecedents from the causally relevant antecedents. But then we are thinking of what Navyanyāya calls *ananyathāsiddhatva* (which I have translated above as the criterion of 'unconditionally'), and not Mill's 'unconditionality' criterion.

The point at issue may be made in the following way. Suppose there is a unique tribe, each adult member of which has produced, after going through the usual tribal training period, a particular craft. This craft is unique to this tribe, and let us assume that no one else on earth has succeeded in producing that craft. Now suppose that each such adult member, after his training period and before producing the craft, has gotten up from bed at 6 A.M. on two successive Sundays. If invariable sequence is enough to establish causal connection, then not only the tribal training period but also their getting up at 6 A.M. on two successive Sundays should be considered causally relevant! In fact, to be true to the Humean spirit of empiricism, one has to accept such an apparently absurd consequence. The question of what is relevant, namely, the training

period, and what is not relevant to the production of the craft cannot be decided unless some notion like the Navyanyāya idea of *ananyathāsiddhatva* is introduced. It may be noted that an Abhidharma Buddhist can nicely tackle the problem here by taking the bull by the horns. As noted earlier, he can claim that when something *has been* produced nothing that was prior to it was really irrelevant to its production. Vasubandhu exemplified the point as follows: When the village folk have successfully organized a feast without interference from the proverbial village troublemaker, they can say that the success of the feast was owing also to the help ofthat troublemaker. In other words, when an event is caused, almost everything, through its noninterference, can be causally responsible for it. Thus, the question of excluding irrelevant items from the domain of causation does not arise.

For Navyanyāya, the fact of their getting up at 6 A.M. on two Sunday mornings will be what is called *anyathāsiddha* 'conditioned otherwise', and hence it cannot be causally relevant. In other words, if we investigated each case separately, we could find in each case reasonable explanation of why that particular adult in that case got up at 6 A.M. on two successive Sunday mornings before the said craft was produced. And such an explanation would reveal that each of these facts was conditioned otherwise, *anyathāsiddha*. In the same way, Navyanyāya would declare that while being dry, that is, the lack of dampness, is a 'negative' causal condition for the matchstick to ignite, but the color of the matchstick is *anyathāsiddha*, being immaterial to its igniting.[22]

NOTES

1. See *Abhidharmakośa* and *Bhāṣya* of Vasubandhu, Part I, ed. Swami Dwarikadas Sastri (Varanasi: Bauddha Bharati, 1971), pp. 279–282.

2. Ibid., p. 349.

3. See Praśastapāda, *Padārthadharmasaṁgraha*, ed. Durgadhara Jha (Varanasi: Sanskrit Visvavidyalaya, 1963), pp. 244, 246.

4. This is a general comment, which may be subject to qualification. In fact, Asok Gangadean criticized this comment. But I am yet to be convinced by his arguments.

5. For this notion of *nimittakāraṇa*, see *Vyomavaiī* of Vyomasivācārva. commentary on *Praśastapādabhāṣya*, ed. Gopinath Kaviraj and Dhundhiraj Sastri, (Banaras: Chowkhamba, 1930), p. 140–142.

6. See *Nyāyasūtra* and *Nyāyabhāṣya*, ed. Ganganath Jha, (Poona: Oriental Book Agency, 1939), p. 246–270.

7. See *Sāmkhyakārikā* and *Yuktidīpikā*, ed. Ramasamkar Tripathi, (Varanasi: B. Tripathi, 1970), p. 59–69.

8. See *Mādhyamikákārikā* of Nāgārjuna, ed. P. L. Vaidya (Darbhanga: Mithila Institute, 1960), chapts. 1 and 15.

9. See *Āgamasāstra* of Gaudapāda, ed. Vidhusekhara Bhattacharya (Calcutta: University of Calcutta, 1943), pp. 101–112.

10. For the Buddhist criticism of potentiality (*sāmarthya*), see *Ratnakīrti-nibandhāvalī*, ed. Anantalal Thakur (Patna: K. P. Jayaswal Research Institute) pp. 62–76.

11. See *Nyāyakusumāñjali* of Udayana, eds. P. Upadhyaya and D. Sastri, (Varanasi: Chowkhamba, 1957), pp. 41–60.

12. Ibid., pp. 103–117.

13. See *Nyāyasiddhāntadīpa*, ed. V. P. Dwivedi and Dhundhiraj Shastri, (Benares Cantt.: Lazarus & Co., 1924), pp. 89–92. A critical edition of this text has already been prepared by me and is forthcoming in the L. D. Indological Series, Ahmedabad.

14. David Hume, *A Treatise of Human Nature*, ed. L. A. Selby-Bigge (Oxford: The Clarendon Press, 1951), Book I, Part III, Sec. XIV, pp. 166–172.

15. See my *Epistemology, Logic and Grammar in Indian Philosophical Analysis*, (The Hague: Mouton, 1971), pp. 71–77.

16. See for a discussion of *ananyathāsiddhatva, Tattvacintāmaṇi* of Gaṅgeśa, ed. Kamakhyanatha Tarka vagisa (Calcutta: Asiatic Society of Bengal, 1884–1901), Part 2, vol. 3, pp. 154–155.

17. See B. Russell, *Mysticism and Logic* (1917; reprint ed., Garden City, N.Y.: Doubleday Anchor Books), pp. 174–201.

18. A. J. Ayer, *Foundations of Empirical Knowledge* (London: Macmillan & Co., 1951), Chap. 4. R. G. Collingwood, *An Essay on Metaphysics* (Oxford The Clarendon Press, 1940), Part 3 C. C. J. Ducasse, *Nature, Mind and Death*, Part II (La Salle, Illinois: The Open Court Publ. Co., 1951).

19. David Hume. *op. cit*., p. 172.

20. Thomas Reid. *Essays on the Active Powers oj the Human Mind*, Essay 4, included in *Works*, ed. Sir William Hamilton, (Edinburg: Maclachlan & Stewart, 1846–1863).

21. J. S. Mill, *A System of Logic*, 8th ed., Book III, Chap. V, Sec. 6 (1843; New York: Harper, 1881).

22. In fact, the *ananyathāsiddhatva* criterion cannot, in final analysis, successfully exclude all irrelevant factors from the relevant causal factor. Gaṅgesa discusses the problem in *Tattvacintāmaṇi*, Part 2, vol. 3, p. 154–155. The important question, namely, why, of two invariably conjoined factors, one is taken to be the causal factor rather than the other, depends partly, according to Gahgesa, on our intuitive notion of simplicity (*lāghava*) and relevance.

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AN ONTOLOGY OF CONCBETE CONNECTORS[1]

AS Nelson Goodman has rightly pointed out, the distinction between abstract and concrete is not the same as that between universal and particular (*The Structure of Appearance (SA)*, pp. 200–201). Since, however, Goodman's definitions of these terms are rigged in the midst of his rather peculiar reconstruction, Bince those definitions therefore involve the use of the term "coneretum" in the definiens, and since the term "concretum" involves a possibly dubious maneuver in its explication (cf. "A Query to Mr. Goodman" by the present writer, *Philosophical Studies*, December 1957, pp. 81–85), I prefer to formulate my own explication of "concrete" and "abstract."

The term "concrete" in its non-philosophical use carries with it many of the implications of the word "solid." "Abstract," on the other hand, means something from which an element has been left out in thought—or, which comes to essentially the same thing, something that has been separated from its (concrete) situation by thought. Roughly, then, the distinction is between that from which nothing has been removed in thought as over against that from which something *has* been removed in thought.

Now it is clear that this is not the same distinction as that between universal and particular. "Universality," as Goodman remarks, "is rather a matter of multiplicity of instances" (*SA*, pp. 201). Universals, if there are any, may be either abstract or concrete, which is to say that either an entity may be complete in all its details and still be repeatable (as Plato's Forms are usually understood to have been

thought by him to be) or else that the repeatability of an entity always is due to the abstraction by men's minds from certain aspects of concrete situations.

Now returning to my explication of "abstract" and "concrete," it would seem that this distinction, unlike that between "universal" and "particular," admits of degrees (and the idealists, who used it frequently, regularly took the distinction as a relative one). Nevertheless, metaphysicians have traditionally been concerned with the absolutely concrete—that from which absolutely no details have been left out, (They have sometimes been concerned with the absolutely abstract, that from which absolutely all details have been left out—that is to say, Nothing.) A metaphysical theory, indeed, might be defined rather neatly as a theory concerning what is absolutely concrete, i.e., what the world is like with all the details which we men leave out when thinking returned to their proper places. (The abstract, it should be noted, is not "mental" in the sense of being composed of thought; it is what men think *about* when they abstract, and is not to be identified with their thinkings, at least without argument.)

That there has been a confusion in some philosophers' minds between the abstract-concrete distinction and the particular-universal distinction is apparent from the current usage in some quarters of the phrase "the problem of abstract entities." For it is often not clear whether the problem philosophers in those quarters are concerned with is the problem of which entities are abstract and which concrete, or the problem of whether there are repeatable entities. I wish to address myself in what follows to the former problem, while intentionally avoiding the latter. So much to justify the necessity of my opening paragraphs.

Now the theory I am going to propose is that the absolutely concrete is made up of relations, i.e., things which point from something to something else. The immediate response to this will be that relations can't be concrete because they are universals. Russell, for instance, argues in *The Problems of Philosophy* that nominalism can only be considered feasible if one leaves relations out of account; once one remembers them, it is clear that there must be at least one universal—namely, resemblance (*The Problems of Philosophy*, pp. 96–97). But I am not concerned here to argue that the relations I have in mind are particulars, but rather that they are the ultimately concrete entities of nature, or, if you please, that terms referring to them are the "atoms" of a successful metaphysical system.

It may seem to some, however, that the term "relation" is used in philosophy to treat exclusively of abstractions, so that, although relations may or may not be universals, at any rate it is contrary to usage to call them concrete entities. It is for this reason I have decided to speak of the elements of the absolutely concrete as connectors rather than relations.

A relation is ordinarily understood to be an entity which is capable of linking two or more entities. Connectors also are entities which are capable of linking two or more entities. The difference, then, is that while the term "relation" is ambiguous insofar as it is used to describe entities which may be either abstract or concrete, "connector" will here be used only to describe the absolutely concrete relations.

When I say that relations are capable of linking two or more entities, I am not committing myself to the concrete existence of relations, any more than one who says that being square is a shape some figures have is committing himself to the concrete existence of

shapes. It does, of course, commit one to recognizing shape as an abstraction, or at least so I should be willing to admit; but I do not conceive this to be a very exciting admission.

Now it is not necessary, in describing or characterizing a relation, to list the individual entities which are in fact its relata. The same, therefore, is true of connectors. A connector is thus also an entity which is capable of linking suitably ordered entities (pairs, triples, etc.), but which is in addition absolutely concrete. In describing connectors so, I have still not committed myself to their existence. This has to be shown. All I have so far tried to show is that it makes sense to talk about connectors—i.e., that (*a*) it makes sense to talk about relations, conceived as linking entities, and (*b*) it makes sense to talk about concrete entities as distinguished from abstract ones without getting into difficulties about universals.

But it is now necessary, of course, to give examples. I shall argue, then, that in cases of genuine production, e.g., where two concrete entities combine to produce a third, the proper analysis of the situation commits us to the concrete existence of connectors—specifically, to at least three: the two entities which combine, and the third, which is not their " combination" but the concrete entity which is produced.

Although I am arguing this view with respect to cases of genuine production, what I am discussing is a part of a more general discussion of causation. Not all cases which have been called instances of causation are genuine cases of production, but some of them are, and I shall begin my treatment by examining two possible and, in my opinion, inadequate theories about the nature of causation in general and production in particular.

A word or two about adequacy. Goodman says, " an adequate system would have to provide a translation for every sentence we

care about" (*SA*, p. 21). I tend to take him quite seriously. But it is obvious that philosophers may differ quite widely as to what sentences they care about. One of the sentences I care about is the sentence I shall refer to as (A), "things could have happened otherwise than they did," which I take to assert, unlike its negation, that there is real freedom and genuine growth in the world. To put it a different way, any metaphysical system I wish to accept will be such that it allows the truth-value of some statements to be contingent upon extra-systematic considerations; a system which makes all statements necessary truths is inadequate for me, since I take the above-quoted sentence seriously, and any such system has no way of translating it. (My reasons for caring about this sentence have to do with the practical contradictions which result from denying it; Kant had similar feelings toward the end of the *Grundlegung*.)

Now there are two theories about the nature of production which seem to me to be inadequate. One of these is the frequently heard version of the empiricist theory which makes the causal relation merely an abstraction. The apparent necessity of the statement " every event has a cause," on this view, stems from our habit of abstracting regularities from the flux of phenomena and then inserting these regularities into our account of the world. There is no necessity in the absolutely concrete, on this view; everything there is accidental, and the appearance of necessity is due to our habits.

Ontologically, this view takes the absolutely concrete (if it takes it at all) to be constituted of bare particulars, uncharacterized in themselves but clothed by our minds with attributes and governed through our abstractings by laws of regular occurrence. Whatever the attractions of this account, however, it will not do as the ontology of my metaphysical system, since it leads eventually to a "closed" universe, i.e., one in which (A) has no use in describing concrete reality. Since the only entities recognized in this account are

bare, i.e., uncharacterized particulars, and the characterization of them always involves abstraction, it follows that the characterization of these entities as "happening otherwise than they did" involves an abstraction, that is to say, does not apply to the absolutely concrete. Therefore (A) has no use, unless it is used merely to mean that I could have abstracted differently than I did, and this rather unexciting statement is trivially true, since, as far as abstractions are concerned, to have made them gives them all the being of which they are capable.

The other inadequate view of production is the extreme rationalist position which takes causation as a relationship of logical necessity, such that to know an individual is to know its specific causal relations —the result being that any sentence of the form "a causes b" is necessarily, because logically, true. It is clear that (A) has no use on this view either, since every specific application of it yields a logical contradiction, in that if a had not caused b it would not be a (as we sometimes put it). Thus, this view also leads to a closed universe.

Now I take it as one of the criteria of a successful metaphysical system that it should describe an open universe, i.e., one in whose accurate description (A) or some equivalent statement appears or can be proved. The two inadequate views just examined represent two extremes between which my view will try to steer. On the one hand, the extreme empiricist adopts an ontology whose elements are not characterized at all; on the other hand, the extreme rationalist adopts an ontology whose elements are completely characterized. Unless I am mistaken, then, my view must involve an ontology whose elements are characterized, but incompletely. Again, on the one hand, the radical empiricist's ontology consists of completely unrelated individuals; the radical rationalist's contains completely interrelated individuals. My ontology must therefore contain partly related individuals. Therefore, on my view some relations must be

elements of the absolutely concrete, and other relations must be abstract. But this is to say, using the terminology now at hand, that some relations must be connectors, and others not. The problem then becomes, Which relations are the connectors?

The negative arguments against extreme empiricist and rationalist ontologies may serve to give our inquiry plausibility. Now let us try to frame a positive account of an ontology which avoids these extremes.

Let us consider a concrete entity *a* and another concrete entity b which are found in the world in such juxtaposition that we find it natural to say that *a* produces *b*. On my view, the metaphysical account of this is that *a* and *b* have come into connection with a third entity, *c*, which connects them. If *a* and *b* are concrete entities, and if we are correct in identifying this sequence as one of genuine production, then it follows on my view that *c* is also a concrete entity.

First off, one might suppose that I hold some sort of view which perversely takes concretion as an additive property, so that if any two things, *x* and *y*, are concrete, then their logical sum, $x + y$, must also be concrete. I hold no such view. The entrance of the concrete entities *a* and *b* into a complex unity, *c*, is not to be conceived on the analogy of two terms entering into their sum. c is not the sum of *a* and *b*. Nor, although it is their product, is it their logical product, *c* is a concrete entity, and both the logical sum and product of *a* and *b* are abstract ones.

The next move by the opposition is well-known. I am holding that the relation between two entities is to be explained by appealing to a third one which relates the first two. But, asks Bradley, what relates each of the first two to the third one? Or am I perhaps willing to countenance an infinite regress? No indeed; that type of infinity

makes (A) useless once again for still different reasons— specifically, because nothing could ever happen.

But how, then, shall I avoid the regress? The suggestion is alarmingly simple: it must be that *a* and *b* connect *themselves* to *c*, or, to put it the way I should prefer, that *a* and *b*, as well as *c*, are connectors.

Why does it sound so odd to say that something connects itself to something else? Perhaps it has the ring of a logical paradox; a is both connector and connected at the same time and in respect to the same entity, *b*. But I think that ring is spurious. There is no logical contradiction in an entity's being its own connector, as there is, perhaps, in a statement's asserting its own falsity, or in a person's being his own father. Perhaps a part of the ring comes also from the confusion discussed at the outset; it is noticed, in criticizing Platonic views, that in the case of a Form participated in by a particular the relata are of different types, the one universal and the other particular, and it certainly would be a contradiction if one held (*a*) that all relations are universals, (*b*) that a relatum may be its own relation, and (*c*) that some of those relata are particulars, for then those relata would be both universal and particular. But I am not committed to the view that all connectors are universals, nor to its contrary; in fact, I have not advanced any view on the problem of repeatable entities at all.

Actually, when one thinks of it, there are plenty of instances of self-connecting objects in the world of everyday experience. Glue, for example, does not need something else to stick itself to paper, nor does the attraction exerted by a magnet (its field) need something else to connect it to the iron filings. There is nothing hard in thinking of concrete entities as self-connecting; we encounter analogies all the time. Not that I should care to be understood as proposing these

as completely satisfactory analogies to the connectors of which I speak; most analogies, being abstractions, will break down if pushed far enough. I merely cite these things to show that the notion of a self-linking connector, far from being self-contradictory or paradoxical, is perfectly well understood and accepted by practically everyone except certain philosophers.

Very well, let us take it as shown that the notion of a self-linking connector is thinkable. Now how is it that a view which takes such connectors as concrete allows what I have called an " open" universe? We saw that to avoid the extremes of empiricism or rationalism our ontology must contain as elements incompletely characterized entities. My argument must show that self-linking connectors can be understood as incompletely characterized.

An incompletely characterized entity is an entity whose exhaustive characterization involves determinability without involving any specific determinate "lying under" that determinable. Another way of putting this would be to say that concrete entities, being incompletely specified, are of such a nature that some of their specific relations to other concrete entities are not included in their descriptions—i.e., that they have an intrinsic openness about them.

In a case of genuine production, two concrete entities, named *a* and *b*, link themselves to a third concrete entity, *c*, in such a way that we would say that *a* is the cause, *b* the effect, and *c* the productive relation between them. This productive relation might also be described as the concrete situation in which is embedded the abstract *fact* that *b* is the effect of *a*. In other words, c is one of the concrete entities from which we abstract our general notion of production. Now, on my view, *a*, *b*, and *c* are all concrete connectors, which is to say they are exhaustively describable by specifying the other sorts of concrete entities (connectors) with which they can

connect themselves. Notice I did not say that their description includes the specification of the concrete entities themselves with which they can come into connection, but rather with the *sorts*. Concrete entities are intrinsically incomplete in precisely the sense that their exhaustive characterization involves the use of determinable words rather than determinate ones only.

It is common to retort to such a suggestion that the word "determinable" is significant either (*a*) through its reference to the determinates lying under it, or (*b*) through its reference to a repeatable entity, (*a*) and (*b*) being respectively the views called nominalism and realism. At last, the reader may sigh, I am being forced to face the problem of repeatable entities. Are determinables themselves, then, concrete? The view has its difficulties.

But what has happened in setting up this supposed problem? The critic has made the common mistake of assuming that, because I find myself compelled to use a certain word in ordinary language, I therefore must admit as legitimate the question, "To what concrete thing does that word refer?" If we have learned anything from recent developments in analytic philosophy, it is that this question rests on a mistake. However, I would not want to be understood as saying that I owe no explanation at all of determinability—merely that I owe no argument for or against the existence of concrete determinables simply because I find it expedient to use the language of determinability.

The reason why determinable words are appropriate in characterizing concrete entities is not because there are universals, nor is it the case that in using such words I commit myself to any specific determinate entities falling under the determinable. There might be none. That there is intrinsic determinability in the world, however, is precisely what I am arguing, although it doesn't follow

from that that I hold that there is an *x* such that *x* is either determinability or a determinable.

One may think of a concrete entity, I submit, as a complex of vectors each calling for certain sorts of concrete entities to combine with. These vectors are both negatively and positively determinable, which is to say, they absolutely cannot combine with certain sorts of entities whereas they can or cannot combine with certain other sorts of concrete entities. Expanding this account some more, let me put it this way. A given specific concrete entity, or self-linking connector, consists of vectors which require (but not logically) certain sorts of more complex concrete entities to fill themselves out. Thus *a*, our cause, includes a vector which requires, not *c*, the concrete situation, but rather *a C*, some entity of the sort which is involved when, as we say, things of type A produce things of type B. It is clear that we need different symbols, one to stand for the specific *c* which grows out of *a*'s producing *b*, and one to stand for the *sort O* which A's vector requires. Think of small letters as standing for specific terms and capital letters for sorts. On my view, the analysis of "the 8-ball produced the motion of the 9-ball" is this: given that "*a*" is the name of one of the 8-ball' vectors, and that "*b*" is the name of one of the 9-ball's vectors, that "*c*" is the name of a concrete productive connector, and that "*C*" is the general term for concrete productive connectors, then *a* requires *C*, and *b* requires *C*, and *c* filled out both *a* and *b*.

This account of causality avoids the extreme empiricist view, for it holds that, although *C* is not a concrete entity, *c* is, so that "*a* requires *C*" is a necessary truth, although "*c* filled out *a*" is not. It avoids the extreme rationalist view, for it holds that, although "*a* requires *C*" is a necessary proposition, "*c* filled out *a*" is not.

Although "requires *C*" is linguistically a part of the neeessary truth "*a* requires *C*," it does not name or describe a concrete entity in the language rigged up above. The same, then, can be said for "*C*." Either there is no concrete entity *C*, or, if there is, it will have to be shown on different grounds. I believe I have successfully avoided the repeatability issue in this analysis, at least.

The upshot of the discussion, as I see it, is no more than this: some of the traditional bogeys that haunt the incipient realist who believes in freedom can be avoided. This is not to say that there are no difficulties with the ontology presented here; there clearly are (e.g., how are we to understand the as yet unanalyzed expression "*c* filled out *a*," which we needed in our description?). But it may serve to relocate some of the problems, to remove the onus of traditional difficulties such as the considerations which led Bradley to reject a universe involving concrete relations, for instance, as well as the dilemma of nominalism and realism supposedly posed by the "problem of universals" as it is often formulated.

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ETHICS AND *ETHICS AND THE MORAL LIFE*[1]

IT is sometimes difficult to remember just why people write books on ethics, for they very often fail to make this clear. Mr. Mayo says that the question which "stands behind" all the questions of moral philosophy is this: "How is it that a man's recognition of a moral principle can make a difference to his conduct!" But one's first reaction to this is surely a certain curiosity. Why is this a problem? Would a man be said to have adopted, recognized a certain moral

principle unless it *did* make a difference to his conduct! And in fact, many pages later, Mr. Mayo says (p. 114): "When I say that a certain course of action X is wrong, ... the very least that I am doing ... is committing myself to a future policy with regard to X. I am, for example, disclosing my readiness to avoid X myself, to resist any inclination towards X, to condemn it on other occasions, to reproach ... to deter ... to deplore ... to try ... and so on." So presumably if none of these things show themselves in my conduct I haven't really adopted, recognized, the moral principle I enunciated.

Why a book on ethics at all? What *are* the problems in ethics?

A philosopher said to me recently: "What I want to examine is the problem whether or not the influencing of decisions or choices is the fundamental role of moral evaluation." This is another (perhaps currently even more popular) way of putting Mr. Mayo's question— i.e., how do moral judgments influence conduct (whether my own or that of another)? Is it perhaps their special distinctive function to do this? But suppose we were to ask who cares how or whether it is. What difference does it make how or whether it is? I shall suggest that these are not trivial questions.

[1] Read at the meeting of the Western Division of the American Philosophical Association, Madison, Wisconsin, May 2, 1959.

[1] By Bernard Mayo. London: Macmillan (New York: St. Martin's Press), 1958. viii, 238 p.

DEPENDENT ARISING AND THE EMPTINESS OF EMPTINESS: WHY DID NĀGĀRJUNA START WITH CAUSATION?

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1. Introduction

Nāgārjuna, who lived in South India in approximately the first century C.E., is undoubtedly the most important, influential, and widely studied Mahāyāna Buddhist philosopher. He is the founder of the Mādhyamika, or Middle Path, schools of Mahāyāna Buddhism. His considerable corpus includes texts addressed to lay audiences, letters of advice to kings, and the set of penetrating metaphysical and epistemological treatises that represent the foundation of the highly skeptical and dialectical analytic philosophical school known as Mādhyamika. Most important of these is his largest and best-known text, the *Mūlamādhyamikakārikā*—in English, *Fundamental Stanzas on the Middle Way*. This text in turn inspires a huge commentarial literature in Sanskrit, Tibetan, Chinese, Korean, and Japanese. Divergences in interpretation of the *Mūlamādhyamikakārikā* often determine the splits between major philosophical schools. So, for instance, the distinction between two of the three major Mahāyāna philosophical schools, Svātantrika-Mādhyamika and Prāsahgika-Mādhyamika, reflect, *inter alia*, distinct

readings of this text, itself taken as fundamental by scholars within each of these schools.

The treatise itself is composed in very terse, often cryptic verses, with much of the explicit argument suppressed, generating significant interpretative challenges. But the uniformity of the philosophical methodology and the clarity of the central philosophical vision expressed in the text together provide a considerable fulcrum for exegesis. The central topic of the text is emptiness—the Buddhist technical term for the lack of independent existence, inherent existence, or essence in things. Nāgārjuna relentlessly analyzes phenomena or processes that appear to exist independently and argues that they cannot so exist, and yet, though lacking the inherent existence imputed to them either by naive common sense or by sophisticated, realistic philosophical theory, these phenomena are not nonexistent—they are, he argues, conventionally real.

This dual thesis of the conventional reality of phenomena together with their lack of inherent existence depends upon the complex doctrine of the two truths or two realities—a conventional or nominal truth and an ultimate truth—and upon a subtle and surprising doctrine regarding their relation. It is, in fact, this sophisticated development of the doctrine of the two truths as a vehicle for understanding Buddhist metaphysics and epistemology that is Nāgārjuna's greatest philosophical contribution. If the analysis in terms of emptiness is the substantial heart of *Mūlamādhyamikakārikā*, the method of *reductio ad absurdum* is the methodological core. Nāgārjuna, like Western skeptics, systematically eschews the defense of positive metaphysical doctrines regarding the nature of things, demonstrating rather that any such positive thesis is incoherent, and that in the end our conventions and our conceptual framework can never be justified by demonstrating their

correspondence to an independent reality. Rather, he suggests, what counts as real depends precisely upon our conventions.[1]

For Nāgārjuna and his followers, this point is connected deeply and directly with the emptiness of phenomena. That is, for instance, when a Madhyamika philosopher says of a table that it is empty, that assertion by itself is incomplete. It invites the question, "empty of what?" And the answer is: "empty of inherent existence, or self-nature, or, in more Western terms, *essence*." Now, to say that the table is empty is hence simply to say that it lacks essence and, importantly, not to say that it is completely nonexistent. To say that it lacks essence, the Madhyamika philosopher will explain, is to say, as the Tibetans like to put it, that it does not exist "from its own side"— that its existence *as the object that it is, as a table*, depends not only upon *it or* on any purely nonrelational characteristics, but upon us as well. That is, if this kind of furniture had not evolved in our culture, what appears to us to be an obviously unitary object might instead be correctly described as five objects: four quite useful sticks absurdly surmounted by a pointless slab of stick-wood waiting to be carved. It is also to say that the table depends for its existence on its parts, on its causes, on its material, and so forth. Apart from these, there is no table. The table, we might say, is a purely arbitrary slice of space-time chosen by us as the referent of a single name, and not an entity demanding, on its own, recognition and a philosophical analysis to reveal its essence. That independent character is precisely what it lacks, on this view.

And this analysis in terms of emptiness—an analysis refusing to characterize the nature of any thing, precisely because it denies that we can make sense of the idea of a thing's nature—proceeding by the relentless refutation of any attempt to provide such a positive analysis, is applied by Nāgārjuna to all phenomena, including, most radically, emptiness itself. For if Nāgārjuna merely argued that all

phenomena are empty, one might justly indict him for in fact merely replacing one analysis of things with another; that is, with arguing that emptiness is in fact the essence of all things. But Nāgārjuna, as we shall see, argues that emptiness itself is empty. It is not a self-existent void standing behind the veil of illusion represented by conventional reality, but merely an aspect of conventional reality. And this, as we shall see, is what provides the key to understanding the deep unity between the two truths.

While Nāgārjuna is a powerfully original thinker, he is clearly and self-consciously operating squarely within the framework of Buddhist philosophy. Therefore, Nāgārjuna accepts, and takes it as incumbent upon him, to provide an account of the Four Noble Truths. Moreover, he takes it as a fundamental philosophical task to provide an understanding of what Buddhist philosophy refers to as *pratītyasammutpāda*—dependent co-origination. This term denotes the nexus between phenomena in virtue of which events depend on other events, composites depend upon their parts, and so forth. Just how this dependency is spelled out, and just what is its status is a matter of considerable debate within Buddhist philosophy, just as the nature of causation and explanation is a matter of great dispute within Western philosophy. Nāgārjuna is very much concerned to stake out a radical and revealing position in this debate. I will argue that this position provides the key to understanding his entire text.

The *Mūlamādhyamikakārikā* is divided into twenty-seven chapters. The first chapter addresses dependent origination. While many Western commentators assert that this chapter opens the text simply because it addresses a "fundamental doctrine of Buddhism" (Kalupahana 1986), I will argue that Nāgārjuna begins with causation for deeper, more systematic reasons. In chapters 2 through 23, Nāgārjuna addresses a wide range of phenomena, including external perceptibles, psychological processes, relations, and putative

substances and attributes, arguing that all are empty. In the final four chapters, Nāgārjuna replies to objections and generalizes the particular analyses into a broad theory concerning the nature of emptiness itself and the relation between the two truths, emptiness and dependent arising itself. It is generally, and in my view correctly, acknowledged that chapter 24, the examination of the Four Noble Truths, is the central chapter of the text and the climax of the argument. One verse of this chapter, verse 18, has received so much attention that interpretations of it alone represent the foundations of major Buddhist schools in East Asia:

> Whatever is dependently co-arisen
>
> That is explained to be emptiness.
>
> That, being a dependent designation
>
> Is itself the middle way.

Here Nāgārjuna asserts the fundamental identity of (1) emptiness, or the ultimate truth, (2) the dependently originated—that is, all phenomena— and (3) verbal convention. Moreover, he asserts that understanding this relation is itself the middle-way philosophical view he articulates in the *Mūlamādhyamikakārikā*. This verse and the discussion in the chapters that follow provide the fulcrum for Candrakirti's more explicit characterization of the emptiness of emptiness as an interpretation of Nāgārjuna's philosophical system— the interpretation that is definitive of the Prāsahgika-Mādhyamika school. In what follows I will provide an interpretation of this central verse and its context that harmonizes with Candrakīrti's and argue that, in fact, this doctrine is already to be found in the opening chapter of the text—the examination of conditions. Reading the text in this way, I will argue, locates the doctrine of the emptiness of emptiness not only as a dramatic philosophical conclusion to be drawn at the end of twenty-four chapters of argument, but as the

perspective implicit in the argument from the very beginning, and only rendered explicit in chapter 24. Reading the text in this way, I will suggest, also shows us exactly how 24:18 is to be understood, and just why a proper understanding of causality is so central to Buddhist philosophy.

I will begin by offering a philosophical reading of chapter 1. I will argue that Nāgārjuna distinguishes two possible views of dependent origination or the causal process—one according to which causes bring about their effects in virtue of causal powers and one according to which causal relations simply amount to explanatorily useful regularities—and defends the latter. This, I will argue, when suitably fleshed out, amounts to Nāgārjuna's doctrine of the emptiness of causation. I will then turn immediately to chapter 24, focusing on the link between emptiness, dependent origination, and convention, and developing the theory of the emptiness of emptiness. With this in hand, we will return to chapter 1, showing how this doctrine is anticipated in the initial discussion of causation. Finally, I will show quickly how this way of reading the texts changes the way we would read subsequent chapters, and I will make a few general remarks about the moral of this textual exercise for an understanding of the centrality of causation to metaphysics and for an understanding of the remarkably pragmatic outlook of Mādhyamika philosophy.

2. Chapter 1—Examination of Conditions

Central to this first chapter is the distinction between causes and conditions (Skt *hetu* and *pratyaya* [Tib *rGyu* and *rKyen*] This distinction is variously drawn and is controversial,[2] and is arguably differently understood in Sanskrit and Tibetan. The way I will understand it here, I argue, makes good, coherent sense not only of

this chapter, but of the *Mūlamādhyamikakārikā* as a whole. Briefly, we will understand this distinction as follows: When Nāgārjuna uses the word "cause" (*hetu* [*rGyu*]), he has in mind an event or state that has in it a *power* (*kriyā*[*Bya Ba*]) to bring about its effect, and has that power as part of its essence or nature (*svabhāva* [*Rang bZhin*]). When he uses the term "condition," on the other hand (*pratyaya* [*rKyen*]), he has in mind an event, state, or process that can be appealed to in explaining another event, state, or process, without any metaphysical commitment to any occult connection between explanandum and explanans. In chapter 1, Nāgārjuna, we shall see, argues against the existence of causes and for the existence of a variety of kinds of conditions.[3]

The argument against causation is tightly intertwined with the positive account of dependent arising and of the nature of the relation between conditions and the conditioned. Nāgārjuna begins by stating the conclusion (1:1): neither are entities self-caused nor do they come to be through the power of other entities. That is, there is no causation, when causation is thought of as involving causal activity.[4] Nonetheless, he notes (1:2), there are conditions—in fact four distinct kinds—that can be appealed to in the explanation and prediction of phenomena. An example might be useful to illustrate the difference between the four kinds of condition, and the picture Nāgārjuna will paint of explanation. Suppose that you ask, "Why are the lights on?" I might reply as follows: (1) Because I flicked the switch. I have appealed to an efficient condition. Or (2) because the wires are in good working order, the bulbs haven't burned out, and the electricity is flowing. These are supporting conditions. Or (3) the light is the emission of photons each of which is emitted in response to the bombardment of an atom by an electron, and so forth. I have appealed to a chain of immediate conditions. Or (4) so that we can see. This is the dominant condition. Any of these would be a

perfectly good answer to the "Why?" question. But note that none of them makes reference to any causal powers or necessitation.

The next three verses are crucial. Nāgārjuna first notes (1:3) that in examining a phenomenon and its relations to its conditions, we do not find that phenomenon somehow contained potentially in those conditions. Now, on the reading of this chapter, I will suggest, we can see conditions simply as useful explanans. Using this language, we can see Nāgārjuna as urging that even distinguishing clearly between explanans and explanandum as distinct entities, with the former containing potentially what the latter has actually, is problematic. What we are typically confronted with in nature is a vast network of interdependent and continuous processes, and carving out particular phenomena for explanation or for use in explanations depends more on our explanatory interests and language than on joints nature presents to us. Through addressing the question of the potential existence of an event in its conditions, Nāgārjuna hints at this concealed relation between praxis and reality.

Next, Nāgārjuna notes (1:4) that in exploiting an event or entity as a condition in explanation, we do not thereby ascribe it any causal power. Our desire for light does not exert some occult force on the lights. Nor is there anything to be found in the flicking of the switch other than the plastic, metal, movement, and connections visible to the naked eye. Occult causal powers are singularly absent. On the other hand, Nāgārjuna points out in the same breath that this does not mean that conditions are explanatorily impotent. In a perfectly *ordinary* sense—not that which the metaphysicians of causation have in mind—our desire is active in the production of light. But not in the sense that it contains light potentially, or some special causal power that connects our minds to the bulbs.[5]

What is it, then, about some sets of event pairs, but not others, that make them dependently related, if not some causal link present in some cases but not in others? Nāgārjuna replies (1:5) that it is the regularities that count. Flickings give rise to illuminations. So they are conditions of them. If they didn't, they wouldn't be. Period. Explanation relies on regularities. Regularities are explained by reference to further regularities. Adding active forces or potentials adds nothing of explanatory utility to the picture.[6]

In reading the next few verses we must be hermeneutically cautious, and pay careful attention to Nāgārjuna's use of the term "existent" (*satah* [*Yod pa*]) and its negative contrastive "nonexistent" (*asatah*[*Med pa*]). For Nāgārjuna is worried here about *inherent* existence and *inherent* nonexistence, as opposed to *conventional* existence or nonexistence. Though this will become clearer as we go along, keep in mind for the present that for a thing to exist inherently is for it to exist in virtue of possessing an essence; for it to exist independently of other entities, and independently of convention. For a thing to be inherently nonexistent is for it to not exist in any sense at all—not even conventionally or dependently.

With this in mind, we can see how Nāgārjuna defends dependent arising while rejecting causation. He notes (1:6) that if entities are conceived as inherently existent, they exist independently, and hence need no conditions for their production. Indeed, they could not be produced if they exist in this way. On the other hand, if things exist in no way whatsoever, it follows trivially that they have no conditions. This verse and the several that follow (1:6–10) make this point with regard to each of the four kinds of conditions.

What is important about this strand of the argument? Nāgārjuna is drawing attention to the connection between a causal-power view of causation and an essentialist view of phenomena on the one hand,

and between a condition view of dependent arising and a conventional view of phenomena on the other. Here is the point: if one views phenomena as having and as emerging from casual powers, one views them as having essences and as being connected to the essences of other phenomena. This, Nāgārjuna suggests, is ultimately incoherent, since it forces one at the same time to assert the *inherent existence* of these things, in virtue of their essential identity, and to assert their *dependence and productive* character, in virtue of their causal history and power. But such dependence and relational character, he suggests, is incompatible with their inherent existence. If, on the other hand, one regards things as dependent merely on conditions, one regards them as merely conventionally existent. And to regard something as merely conventionally existent is to regard it as without essence and without power. And this is to regard it as existing dependently. This provides a coherent, mundane understanding of phenomena as an alternative to the metaphysics of reification that Nāgārjuna criticizes.

Verse 10 is central in this discussion.

> If things did not exist
>
> Without essence,
>
> The phrase, "When this exists so this will be,"
>
> Would not be acceptable.

Nāgārjuna is replying here to the causal realist's inference from the reality of causal powers to their embodiment in real entities whose essences include those powers. He turns the tables on the realist, arguing that it is precisely because there is no such reality to things —and hence no entities to serve as the bearers of the causal powers the realist wants to posit—that the Buddhist formula expressing the truth of dependent arising[7] can be asserted. It could *not* be asserted

if in fact there were real entities. For if they were real in the sense important for the realist, they would be independent. So if the formula were interpreted in this context as pointing to any causal power, it would be false. It can only be interpreted, it would follow, as a formula expressing the regularity of nature.

In the next three verses (1:11–13) Nāgārjuna anticipates and answers the causal realist's reply. First, the realist argues that the conclusion Nāgārjuna draws from the unreality of causal power—the nonexistence of things (where "existence" is read "inherent existence")—entails the falsity of the claim that things dependently arise (1:11). For if there are no things, surely nothing arises. This charge has a double edge: if the argument is successful it shows not only that Nāgārjuna's own position is vacuous, but also that it contradicts one of the most fundamental tenets of Buddhist philosophy: that all phenomena are dependently arisen. Moreover, the opponent charges (1:11), on Nāgārjuna's view that the explanandum is not to be found potentially in the explanans, there is no explanation of how the former is to be understood as depending upon the latter. As Nāgārjuna will emphasize, however (1:14), the very structure of this charge contains the seeds of its reply. The very emptiness of the effect, an effect presupposed by the opponent to be nonempty, in fact follows from the emptiness of the conditions and of the relationship between conditions and effect. Hence Nāgārjuna can reply to the opponents' attempted refutation by embracing the conclusion of his *reductio* together with the premises it supposedly refutes.

How, the opponent asks, are we to distinguish coincidental sequence from causal consequence? And why (1:12) don't things simply arise randomly from events that are nonconditions, since no special connection is posited to link consequents to their proper causal antecedents? Finally, the opponent asks (1:13), since the

phenomena we observe clearly have natures, how could it be, as Nāgārjuna argues, that they proceed by means of a process with no essence, from conditions with no essence? Whence do the natures of actual existents arise? Nāgārjuna again replies to this last charge by pointing out that since on his view the effects indeed have no essence, the opponent's presupposition is ill-founded. This move also indicates a reply to the problem posed in (1:12); that problem is grounded in the mistaken view that a phenomenon's lack of inherent existence entails that it, being nonexistent, could come into existence from nowhere. But "from nowhere," for the opponent, means from something lacking inherent existence. And indeed, for Nāgārjuna, this is exactly the case: effects lacking inherent existence depend precisely upon conditions which themselves lack inherent existence.

Nāgārjuna's summary of the import of this set of replies (1:14) is terse and cryptic. But unpacking it with the aid of what has gone before provides an important key to understanding the doctrine of the emptiness of causation that is the burden of this chapter. First, Nāgārjuna points out, the opponent begs the question in asserting the genuine existence of the effects in question. They, like their conditions, and like the process of dependent origination itself, are nonexistent from the ultimate point of view. Hence the third charge fails. As a consequence, in the sense in which the opponent supposes that these effects proceed from their conditions—namely that their essence is contained potentially in their causes, which themselves exist inherently—these effects need not be so produced. And so, finally, the effect-containing conditions for which the opponent charges Nāgārjuna with being unable to account are themselves unnecessary. In short, while the reificationist critic charges the Mādhyamika with failing to come up with a causal link sufficiently robust to link ultimately real phenomena, for the Mādhyamika

philosopher, the core reason for the absence of such a causal link is the very absence of such phenomena in the first place.

We are now in a position to characterize explicitly the emptiness of causation, and the way this doctrine is identical with the doctrine of dependent origination from conditions adumbrated in this chapter. It is best to offer this characterization using the *via media* formulation most consonant with Nāgārjuna's philosophical school. We will locate the doctrine as a midpoint between two extreme philosophical views. That midpoint is achieved by taking conventions as the foundation of ontology, hence rejecting the very enterprise of a philosophical search for the ontological foundations of convention (Garfield 1990). To say that causation is nonempty or inherently existent is to succumb to the temptation to ground our explanatory practice and discourse in genuine causal powers linking causes to effects. That is the reificationist extreme which Nāgārjuna clearly rejects. To respond to the arguments against the inherent existence of causation by suggesting that there is then no possibility of appealing to conditions to explain phenomena—that there is no dependent origination at all—is the extreme of nihilism, also clearly rejected by Nāgārjuna. To assert the emptiness of causation is to accept the utility of our causal discourse and explanatory practice, but to resist the temptation to see these as grounded in reference to causal powers or as demanding such grounding. Dependent origination simply is the explicability and coherence of the universe. Its emptiness is the fact that there is no more to it than that.

Now this is certainly philosophically interesting stuff in its own right. But as I suggested at the outset, there is more to it than just an analysis of causation and dependent arising. For, as we shall see, for Nāgārjuna, among the most important means of demonstrating the emptiness of phenomena is to argue that they are dependently arisen. And so the claim that dependent arising itself is empty will

turn out to be the claim that the emptiness of phenomena is itself empty—the central and deepest claim of Mādhyamika ontology.

3. Chapter 24—Examination of the Four Noble Truths

While Chapter 24 ostensibly concerns the Four Buddhist Truths and the way they are to be understood from the vantage point of emptiness, it is really about the nature of emptiness itself, and about the relation between emptiness and conventional reality. As such, it is the philosophical heart of the *Mūlamādhyamikakārikā*. The first six verses of the chapter (24:1–6) present a reply to Nāgārjuna's doctrine of emptiness by an opponent charging the doctrine with nihilism. The next eight verses (24:7–14) are primarily rhetorical, castigating the opponent for his misunderstanding of Mādhyamika. The important philosophical work begins with 24:15. From this point Nāgārjuna offers a theory of the relationship between emptiness, dependent origination, and convention, and argues not only that these three can be understood as co-relative, but that if conventional things (or emptiness itself) were *nonempty*, the very nihilism would ensue with which the reificationist opponent charges Mādhyamika. This tactic of arguing not only against each extreme but also that the contradictory extremes are in fact mutually entailing is a dialectical trademark of Nāgārjuna's philosophical method. Because of the length of this chapter, I will not provide a verse-by-verse reading here, but only a general gloss of the argument, with special attention to critical verses.

The opponent opens the chapter by claiming that if the entire phenomenal world were empty nothing would in fact exist, a conclusion absurd on its face and, more importantly, contradictory to fundamental Buddhist tenets such as the Four Noble Truths (24:1–6)

as well as to conventional wisdom. The implicit dilemma with which Nāgārjuna confronts himself is elegant (24:6). For as we have seen, the distinction between the two truths, or two vantage points—the ultimate and the conventional—is fundamental to his own method. So when the opponent charges that the assertion of the nonexistence of such things as the Four Noble Truths and of the arising, abiding, and ceasing of entities is contradictory both to conventional wisdom and to the ultimate truth (namely, on one straightforward interpretation, that all phenomena are impermanent, that is, merely arising, abiding momentarily, and ceasing), Nāgārjuna is forced to defend himself on both fronts and to comment on the connection between these standpoints.

Nāgārjuna launches the reply by charging the opponent with foisting the opponent's own understanding of emptiness on Nāgārjuna. Though this is not made as explicit in the text as one might like, it is important to note that the understanding Nāgārjuna has in mind is one that, in the terms of Mādhyamika, reifies emptiness itself. Verse 24:16 provides a clue.

> If the existence of all things
>
> Is perceived in terms of their essence,
>
> Then this perception of all things
>
> Will be without the perception of causes and conditions.

The opponent is seeing actual existence as a discrete entity with an essence. It would follow that for the opponent, the reality of emptiness would entail that emptiness itself is an entity, and at that an inherently existing entity. To see emptiness in this way is to see it as radically different from conventional, phenomenal reality. It is to see the conventional as illusory and emptiness as the reality standing behind it. To adopt this view of emptiness is indeed to deny the

reality of the entire phenomenal, conventional world. It is also to ascribe a special, nonconventional, nondependent hyperreality to emptiness itself. Ordinary things would be viewed as nonexistent, emptiness as substantially existent. (It is important and central to the Mādhyamika dialectic to see that these go together— that nihilism about one kind of entity is typically paired with reification of another.) This view is not uncommon in Buddhist philosophy, and Nāgārjuna is clearly aware that it might be suggested by his own position. So Nāgārjuna's reply must begin by distancing himself from this reified view of emptiness itself and hence from the dualism it entails. Only then can he show that to reify emptiness in this way would indeed entail the difficulties his imaginary opponent adumbrates, difficulties not attaching to Nāgārjuna's own view. This brings us to the central verses of this chapter (24:18 and 24:19):

> Whatever is dependently co-arisen
>
> That is explained to be emptiness.
>
> That, being a dependent designation
>
> Is itself the middle way.
>
> Something that is not dependently arisen,
>
> Such a thing does not exist.
>
> Therefore a non-empty thing
>
> Does not exist.

These verses demand careful scrutiny. In 24:18, Nāgārjuna establishes a critical three-way relation between emptiness, dependent origination, and verbal convention, and asserts that this relation itself is the Middle Way towards which his entire philosophical system is aimed. As we shall see, this is the basis for understanding the emptiness of emptiness itself. First, Nāgārjuna

asserts that the dependently arisen is emptiness. Emptiness and the phenomenal world are not two distinct things. They are rather two characterizations of the same thing. To say of something that it is dependently co-arisen is to say that it is empty. To say of something that it is empty is another way of saying that it arises dependently.

Moreover, whatever is dependently co-arisen is verbally established. That is, the identity of any dependently arisen thing depends upon verbal conventions. To say of a thing that it is dependently arisen is to say that its identity as a single entity is nothing more than its being the referent of a word. The thing itself, apart from conventions of individuation, is nothing but an arbitrary slice of an indefinite spatiotemporal and causal manifold. To say of a thing that its identity is a merely verbal fact about it is to say that it is empty. To view emptiness in this way is to see it neither as an entity nor as unreal—it is to see it as conventionally real. Moreover, "emptiness" itself is asserted to be a dependent designation (Skt *prajñaptir-upadaya* [*brTen Nas gDags pa*]). Its referent, emptiness itself, is thereby asserted to be merely dependent and nominal—conventionally existent but ultimately empty. This is, hence, a middle path with regard to emptiness. To view the dependently originated world in this way is to see it neither as nonempty nor as completely nonexistent. It is, viewed in this way, conventionally existent, but empty. We thus have a middle path with regard to dependent origination. To view convention in this way is to view it neither as ontologically insignificant—it determines the character of the phenomenal world—nor as ontologically efficacious —it is empty. Thus we also have a middle way with regard to convention. And finally, given the nice ambiguity in the reference of "that," (De Ni), not only are "dependent arising" and "emptiness" asserted to be dependent designations, and hence merely nominal, but the very

relation between them is asserted to be so dependent, and therefore to be empty.[8]

These morals are driven home in 24:19, where Nāgārjuna emphasizes that everything—and this must include emptiness—is dependently arisen. So everything—including emptiness—lacks inherent existence. So nothing lacks the three coextensive properties of emptiness, dependent-origination, and conventional identity.

With this in hand, Nāgārjuna can reply to the critic. He first points out (24:20–35) that in virtue of the identity of dependent origination and emptiness on the one hand and of ontological independence and intrinsic reality on the other, such phenomena as arising, ceasing, suffering, change, enlightenment, and so on—the very phenomena the opponent charges Nāgārjuna with denying—are possible only if they are empty. The tables are thus turned: it appears that Nagarjuna, in virtue of arguing for the emptiness of these phenomena, was arguing that in reality they do not exist, precisely because, for the reifier of emptiness, existence and emptiness are opposites. But in fact, because of the identity of emptiness and conventional existence, it is the reifier who, in virtue of denying the emptiness of these phenomena, denies their existence. And it is hence the reifier of emptiness who is impaled on *both* horns of the dilemma s/he has presented to Nāgārjuna: contradicting the ultimate truth, s/he denies that these phenomena are empty; contradicting the conventional, s/he is forced to deny that they even exist! And so Nāgārjuna can conclude (24: 36):

> If dependent arising is denied,
>
> Emptiness itself is rejected.
>
> This would contradict
>
> All of the worldly conventions.

To assert the nonemptiness of phenomena and of their interrelations, Nāgārjuna suggests, when emptiness is properly understood, is not only philosophically deeply confused, it is contradictory to common sense. We can make sense of this argument in the following way: common sense neither posits nor requires intrinsic reality in phenomena or a real causal nexus; common sense holds the world to be a network of dependently arisen phenomena. So common sense holds the world to be empty. Again, the standpoint of emptiness is not at odds with the conventional standpoint, only with a particular philosophical understanding of it—that which takes the conventional to be more than merely conventional. What is curious—and, from the Buddhist standpoint, sad— about the human condition, on this view, is the naturalness and seductiveness of that philosophical perspective.[9]

4. The Emptiness of Emptiness

Let us consider now what it is to say that emptiness itself is empty. The claim, even in the context of Buddhist philosophy, does have a somewhat paradoxical air. For emptiness is, in Mahāyāna philosophical thought, the ultimate nature of all phenomena. And the distinction between the merely conventional nature of things and their ultimate nature would seem to mark the distinction between the apparent and the real. While it is plausible to say that what is merely apparent is empty of reality, it seems nihilistic to say that what is ultimately real is empty of reality, and, as we have seen, the Mādhyamika are quite consciously antinihilistic. But again, when we say that a phenomenon is empty, we say, *inter alia*, that it is impermanent, that it depends upon conditions, and that its identity is dependent upon convention. Do we really want to say of each phenomenon that its emptiness—the fact that it is empty—is itself impermanent, itself dependent on something else, itself dependent

upon conventions? It might at least appear that even if all other properties of conventional entities were so, their emptiness would be an eternal, independent, essential fact.

It may be useful to approach the emptiness of emptiness by first asking what it would be to treat emptiness as nonempty. When we say that a phenomenon is empty, we mean that when we try to specify its essence, we come up with nothing. When we look for the substance that underlies the properties, or the bearer of the parts, we find none. When we ask what it is that gives a thing its identity, we stumble not upon ontologica! facts but upon conventions. For a thing to be nonempty would be for it to have an essence discoverable upon analysis; for it to be a substance independent of its attributes, or a bearer of parts; for its identity to be self-determined by its essence. A nonempty entity can be fully characterized nonrelationally.

For emptiness to be nonempty would be for it to be a substantial entity, an independent existent, a nonconventional phenomenon. On such a view, arguably held by certain Buddhist philosophical schools, emptiness is entirely distinct from any conventional phenomenon. It is, on such a view, the object of correct perception, while conventional phenomena are the objects of delusive perception. While conventional phenomena are dependent upon conventions, conditions, or the ignorance of obstructed minds, emptiness, on such a view, is apparent precisely when one sees through those conventions, dispels that ignorance, and overcomes those obstructions. It has no parts or conditions, and no properties. Though such a position might appear metaphysically extravagant, it is hardly unmotivated. For one thing, it seems that emptiness does have an identifiable essence—namely the lack of inherent existence. So if to be empty is to be empty of essence, emptiness fails on that count to be empty. Moreover, since all phenomena, on the

Mādhyamika view, are empty, emptiness would appear to be eternal and independent of any particular conventions, and hence not dependently arisen. The Two Truths, on such an ontological vision, are indeed radically distinct from one another.

But this position is, from Nāgārjuna's perspective, untenable. The best way to see that is as follows. Suppose that we take a conventional entity, such as a table. We analyze it to demonstrate its emptiness, finding that there is no table apart from its parts, that it cannot be distinguished in a principled way from its antecedent and subsequent histories, and so forth. So we conclude that it is empty. But now let us analyze that emptiness—the emptiness of the table—to see what we find. What do we find? Nothing at all but *the table's* lack of inherent existence. The emptiness is dependent upon the table. No conventional table—no emptiness of the table. To see the table as empty, for Nāgārjuna, is not to somehow see "beyond" the illusion of the table to some other, more real entity. It is to see the table *as conventional, as dependent* But the table that we so see when we see its emptiness is the very same table, seen not as the substantial thing we instinctively posit, but rather as it is. Emptiness is hence not different from conventional reality—it is the fact that conventional reality is conventional. Therefore it must be dependently arisen, since it depends upon the existence of empty phenomena. Hence emptiness itself is empty. This is perhaps the deepest and most radical step in the Madhyamika dialectic, but it is also, as we shall see, the step that saves it from falling into metaphysical extravagance and brings it back to sober, pragmatic skepticism.

Now, this doctrine of the emptiness of emptiness emerges directly from 24:18.

Whatever is dependenly co-arisen

> That is explained to be emptiness.
>
> That, being a dependent designation
>
> Is itself the middle way.

For the emptiness of emptiness, as we have just seen, simply amounts to the identification of emptiness with the property of being dependently arisen, and with the property of having an identity just in virtue of conventional, verbal designation. It is the fact that emptiness is no more than this that makes it empty, just as it is the fact that conventional phenomena in general are no more than conventional, and no more than their parts and status in the causal nexus that makes them empty.[10]

So the doctrine of the emptiness of emptiness can be seen as inextricably linked with Nāgārjuna's distinctive account of the relation between the two truths. For Nāgārjuna, as is also evident in this crucial verse, it is a mistake to distinguish conventional from ultimate reality—the dependently arisen from emptiness—at an ontological level. Emptiness just is the emptiness of conventional phenomena. To perceive conventional phenomena as empty is just to see them as conventional, and as dependently arisen. The difference—such as it is—between the conventional and the ultimate is a difference in the way phenomena are conceived/ perceived. The point must be formulated with some delicacy, and cannot be formulated without a hint of the paradoxical about it: conventional phenomena are typically represented as inherently existent. We typically perceive and conceive of external phenomena, ourselves, causal powers, moral truths, and so forth as independently existing, intrinsically identifiable and substantial. But though this is, in one sense, the conventional character of conventional phenomena—the manner in which they are ordinarily experienced—to see them this way is precisely not to see them *as conventional*. To see that they are

merely conventional, in the sense adumbrated above and defended by Nāgārjuna and his followers, is thereby to see them as empty, and this is their ultimate mode of existence. These are the two truths about phenomena: On the one hand they are conventionally existent and the things we ordinarily say about them are in fact true, to the extent that we get it right on the terms of the everyday. Snow is indeed white, and there are indeed tables and chairs in this room. On the other hand, they are ultimately nonexistent. These two truths seem as different as night and day—being and nonbeing. But the import of 24:18 and the doctrine we have been explicating is that their ultimate nonexistence and their conventional existence are the same thing. Hence the deep identity of the two truths. And this is because emptiness is not other than dependent-arising, and hence because emptiness is empty.

Finally, in order to see why chapter 1 is not only an essential groundwork for this central argument, but in fact anticipates it and brings its conclusion to bear implicitly on the whole remainder of the text, we must note that this entire account depends upon the emptiness of dependent origination itself. To see this, suppose for a moment that one had the view that dependent arising were nonempty (not a crazy view, and not *obviously* incompatible with, and arguably entailed by, certain Buddhist doctrines). Then from the identification of emptiness with dependent arising would follow the nonemptiness of emptiness. Moreover, if conventional phenomena are empty, and dependent arising itself is nonempty and is identified with emptiness, then the two truths are indeed two in every sense. Emptiness-dependent arising is self-existent, while ordinary phenomena are not, and one gets a strongly dualistic, ontological version of an appearance-reality distinction. So the argument for the emptiness of emptiness in chapter 24 and the identity of the Two

Truths with which it is bound up depend critically on the argument for the emptiness of dependent origination developed in .

5. Simple Emptiness versus the Emptiness of Emptiness

We can now see why real causation, in the fully reified cement-of-the-universe sense, as the instantiation of the relation between explanans and explananda could never do from the Mādhyamika standpoint. For though that would at first glance leave phenomena themselves empty of inherent existence, it would retain a nonempty feature of the phenomenal world, and lose the emptiness of emptiness itself. Moreover, a bit of reflection should lead us to recognize the deep tension in this metaphysics: if the causal powers of things are ultimately real, it is hard to see how one could maintain the merely conventional status of the things themselves. For they could always be individuated as the bearers of those ultimately real causal powers, and the entire doctrine of the emptiness of phenomena would collapse.

Substituting conditions for causes solves this problem. For, as we have seen, by shifting the account in this way we come to understand the relation between conditions and the conditioned as obtaining in virtue of regularity and explanatory utility. And both of these determinants of the relation are firmly rooted in convention rather than in any extraconventional facts. Regularity is always regularity-under-a-description, and descriptions are, as Nāgārjuna puts it, "verbal designations." Explanatory utility is always relative to human purposes and theoretical frameworks. Dependent origination is thus on this model a thoroughly conventional and hence empty alternative to a reified causal model, which nonetheless permits all of the explanatory moves that a theory committed to causation can

make. For every causal link one might posit, an equivalent conditional relation can be posited. But the otiose and ultimately incoherent posit of causal power is dispensed with on Nāgārjuna's formulation.

But if the foregoing interpretation is correct, we can make a more radical interpretative claim regarding the structure of *Mūlamādhyami-kakārikā*: the entire doctrine of the emptiness of emptiness and the unity of the Two Truths developed in chapter 24 is already implicit in chapter 1. Recall the structure of the argument so far, as we have traced the complex doctrinal web Nāgārjuna spins: the central thesis of chapter 1 as we have characterized it is that there is no inherently existent causal nexus. The link between conditions and the phenomena dependent upon them is empty. To be empty is, however, to be dependent. Emptiness itself is, therefore, as is explicitly articulated in chapter 24, dependent arising. Hence the emptiness of dependent arising is the emptiness of emptiness. And the emptiness of emptiness, as we have seen, is equivalent to the deep identity between the Two Truths. So the entire central doctrine developed in the climactic twenty-fourth chapter is present in embryo in the first. And this is why Nāgārjuna began with causation.

Now, to be sure, it is not apparent on first reading the opening chapter of the *Mūlamādhyamikakārikā* that this is the import of the argument. The rhetorical structure of the text only makes this clear in retrospect, when enough of the philosophical apparatus is on the table to make the entire framework clear. But once we see this framework, a rereading of the text in light of this understanding of the opening chapter is instructive. For it is one thing to argue for the emptiness of some phenomenon *simpliciter* and quite another to argue for that emptiness with the emptiness of emptiness in mind. If we read the opening chapter in the first way, we are likely to miss the force of many of the particular analyses in the text the depth of

which only emerges in light of the deeper thesis of the emptiness of emptiness. If one argues *simply* that a phenomenon is empty of inherent existence, one leaves open the possibility that this is in contrast to phenomena that *are* inherently existent, and hence that the force of this argument is that the phenomenon in question is not *actually* existent. If, on the other hand, one argues that a phenomenon is empty in the context of the emptiness of emptiness, one is explicitly committed to the view that its emptiness does not entail its nonactuality. Emptiness in this context is not nonexistence. The lack of inherent existence that is asserted is not the lack of a property possessed by some entities but not by others, or a property that an entity could be imagined to have, but rather the lack of an impossible attribute. This reorientation of the argument gives what might appear to be a series of starkly nihilistic analyses a remarkably positive tone.

We have time here to consider briefly one example of the difference that this reading of chapter 1 induces in reading the subsequent text. We will consider the analysis of motion and rest in chapter 2. I will not provide a verse-by-verse commentary on the chapter here. But let us note the following salient features of Nāgārjuna's analysis: the target of the argument is a view of motion according to which motion is an entity, or at least a property with an existence independent of that of moving things, or according to which motion is part of the nature of moving things. These are versions of what it would be to think of motion as nonempty. Nāgārjuna argues that from such a view a number of absurd consequences would follow: things not in motion but which were in motion in the past or which will be in the future would have to undergo substantial change, effectively becoming different things when they changed state from motion to rest or vice versa; a regress would ensue from the need for the entity motion itself to be in

motion; motion would occur in the absence of moving things; the moment at which a thing begins or ceases motion would be indescribable. Nāgārjuna concludes that a reification of motion is incoherent. Motion is therefore empty.

So far so good. But then, is motion nonexistent? Is the entire universe static according to Mādhyamika philosophy? If we simply read this chapter in isolation, that conclusion might indeed seem warranted. It would be hard to distinguish emptiness from complete nonexistence. We would be left with an illusory world of change and movement, behind which would lie a static ultimate reality. But such a reading would be problematic. For one thing, it would be absurd on its face. Things move and change. Second, it would contradict the doctrine of dependent origination and change that is the very basis of any Buddhist philosophical system, and which Nāgārjuna has already endorsed in the opening chapter. How, then, are we to read this discussion more positively? Answering this question is hermeneutically critical not only for an understanding of this chapter, but—take my word for it—for a reading of the entire text, which, if not read with care, can appear unrelentingly nihilistic. And on such a nihilistic reading, the appearance/reality distinction that is forced can only coincide with the conventional reality/emptiness distinction, resulting in a denial of reality to the mundane world and a reification of emptiness itself.

The positive account we are after emerges when we recall the emptiness of emptiness and read this second chapter in the context of the reinterpreted first chapter: emptiness itself, as we have seen, according to the analysis of dependent arising, is dependently arisen. It is nothing but the emptiness of conventional phenomena, and is the fact of their being dependent and conventional. If emptiness itself is understood as nonempty, on the other hand, then for a phenomenon to be denominated empty is for it to be completely

nonexistent. For then its merely conventional character would stand against the ultimate reality of emptiness itself. We have just seen how this would play out in the case of motion, and a moment's reflection would indicate that any other phenomenon subjected to this analysis would fare about as well. But consider, on the other hand, how we interpret the status of motion in light of the emptiness of its emptiness: the conclusion that motion is empty is then simply the conclusion that it is merely conventional and dependent, like the putatively moving entities themselves. Since there is no implicit contrastive, inherently existent ultimate reality, this conclusion does not lead us to ascribe a "second class" or merely apparent existence to motion or to movers. Their nonexistence—their emptiness—is hence itself non-existent in exactly the sense that they are. Existence —of a sort—is thus recovered exactly in the context of an absence of inherent existence.

But existence of what kind? Herein lies the clue to the positive construction of motion that emerges. The existence that emerges is a conventional and dependent existence. Motion does not exist as an entity on this account, but rather as a relation—as the relation between the positions of a body at distinct times, and hence is dependent upon that body and those positions. Moreover, it emerges as a conventional entity in the following critical sense: only to the extent that we make the decision to identify entities that differ from each other in position over time, but are in other respects quite similar, and which form causal chains of a particular sort, as the same entity can we say that the entity so identified moves. And this is a matter of choice. For we *could* decide to say that entities that differ in any respect are thereby distinct. If we did adopt that convention for individuation, an entity here now and one there then would ipso facto be distinct entities. And so no *single entity* could adopt different positions (or different properties) at different times, and so

motion and change would be nonexistent. It is this dependence of motion on the moved, of the status of things as moved on their motion, and of both on conventions of individuation that, on this account, constitutes their emptiness. But this simply constitutes their conventional existence, and provides an analysis of the means by which they so exist. The emptiness of motion is thus seen to be its existence *as conventional* and *as dependent* and hence as not other than its conventional existence. And this just is the emptiness of emptiness. But in understanding its emptiness in this way, we bring motion, change, and movable and changeable entities back from the brink of extinction.

It is thus that seeing Nāgārjuna's analysis of the emptiness of phenomena in the context of the emptiness of emptiness allows for a non-nihilistic, nondualistic, constructive reading of the Mādhyamika dialectic, but a reading which for all of that is rich in its explication of the structure of reality and of our relation to it But this reading is only accessible in the chapters analyzing particular phenomena if we already find it in chapter 1. And this, I have argued, is possible once we reread that initial chapter in light of the analysis in chapter 24. The Nāgārjuna who emerges is a subtle figure indeed.

6. The Importance of Causation

The analysis of causation can often look like a highly technical aside in philosophy. It might not seem at first glance to be one of the really "big" questions, like those concerning what entities there are, what the nature of mind is, what the highest good is. By contrast, causation often appears to the outsider or to the beginner like one of those recherché corners of philosophy that one has to work one's way into. But of course even in the history of Western metaphysics and epistemology it has always been central. One has only to think

of the role of a theory of causation for Hume, Kant, Schopenhauer, or Wittgenstein to see this. This study of the *Mūlamādhyamikakārikā* shows why: a clear understanding of the nature of the causal relation is the key to understanding the nature of reality itself and of our relation to it. For causation is, as Hume, Kant, and Schopenhauer as well as Nāgārjuna emphasize, at the heart of our individuation of objects, of our ordering of our experience of the world, and of our understanding of our own agency in the world. Without a clear view of causation, we can have no clear view of anything.

Nāgārjuna begins by examining the causal relation for this reason generally. But for Nāgārjuna there is a further, more specific reason, one which has no explicit parallel in the work of other systematic philosophers, though it is, to be sure, hinted at darkly in the work of those just mentioned. For Nāgārjuna, by examining the nature of dependent arising, and by showing the emptiness of causation itself, we understand the nature of emptiness itself, and thereby push the Mādhyamika dialectic of emptiness to its conclusion. By showing causation to be empty, we show all things to be empty, even emptiness itself. Nāgārjuna begins here because, by beginning with causation, the important conclusions he drives at are ready at hand throughout the examination, even if they are not made explicit until much later.

7. Antimetaphysical Pragmatism in Buddhism

When a Westerner first encounters the *Mūlamādhyamikakārikā* or other Mādhyamika texts, the philosophical approach can appear highly metaphysical and downright weird. The unfamiliar philosophical vocabulary, the highly negative dialectic, and the cryptic verse form are indeed forbidding. Most bizarre of all, however, at first glance, is the doctrine that all phenomena, including

self and its objects, are empty. For indeed Nāgārjuna and his followers do argue that the entire everyday world is, from the ultimate standpoint, nonexistent. And that does indeed appear to stand just a bit deeper into philosophical left field than even Berkeley dares to play. But if the interpretation I have been urging is adopted, the real central thrust of Mādhyamika is the demystification of this apparently mystical conclusion. While it might appear that the Mādhyamika argue that nothing really exists except a formless, luminous void, in fact the entire phenomenal world, persons and all, are recovered within that emptiness.

And if what I have said is correct, the principal philosophical move in this demystification of emptiness is the attack on a reified view of causality. Nāgārjuna replaces the view shared by the metaphysician and the person-in-the-street—a view that presents itself as common sense, but is in fact deeply metaphysical—with an apparently paradoxical, thoroughly empty, but in the end actually commonsense view not only of causation, but of the entire phenomenal world.

APPENDIX: TRANSLATION OF CHAPTERS 1, 2, AND 24 OF THE *MŪLAMĀDHYAMIKAKĀRIKĀ* (TRANSLATED FROM THE TIBETAN TEXT)

Chapter 1—Examination of Conditions

1. Neither from itself nor from another

   Nor from both,

   Nor from a non-cause

   Does anything whatever, anywhere arise.

2. There are four conditions: efficient condition;

   Percept-object condition; immediate condition;

Dominant condition, just so.

There is no fifth condition.

3. The essence of entities

is not evident in the conditions, and so forth.

If these things are selfless,

There can be no otherness-essence.

4. Power to act does not have conditions,

There is no power to act without conditions.

There are no conditions without power to act.

Nor do any have the power to act.

5. These give rise to those,

So these are called conditions.

As long as those do not come from these,

Why are these not non-conditions?

6. For neither an existent nor a nonexistent thing

Is a condition appropriate.

If a thing is nonexistent, how could it have a condition?

If a thing is already existent, what would a condition do?

7. Neither existents nor

Nonexistents nor existent nonexistents are produced.

In this case, how would there be a "productive cause?"

If it existed, how would it be appropriate?

8. Certainly, an existent mental episode

Has no object.

Since a mental episode is without an object,

How could there be any percept-condition?

9. Since things are not arisen,

   It is not acceptable that they cease.

   Therefore, an immediate condition is not reasonable.

   If something has ceased, how could it be a condition?

10. If things did not exist

    Without essence,

    The phrase, "When this exists so this will be,"

    Would not be acceptable.

11. In the various conditions united,

    The effect cannot be found.

    Nor in the conditions themselves.

    So how could it come from the conditions?

12. However, if a nonexistent effect

    Arises from these conditions,

    Why does it not arise

    From non-conditions?

13. If the effect is the conditions' essence,

    Then the conditions do not have their own essence.

    So, how could an effect come From something that is essenceless?

14. Therefore, conditions have no essence.

    If conditions have no essence, there are no effects.

    If there are no effects without conditions,

    How will conditions be evident?

Chapter 2—Examination of Motion

1. What has been moved is not moving.
   What has not been moved is not moving.
   Apart from what has been moved and what has not been moved,
   Movement cannot be conceived.
2. Where there is flux, there is motion.
   Since there is flux in the moving,
   And not in the moved or not-moved,
   Motion is in that which is moving.
3. If motion is in the mover,
   Then how would it be acceptable
   When it is not moving,
   To have called it a mover?
4. The motion of what moves?
   What motion does not move?
   Given that that which has passed is gone,
   How can motion be in the moved?
5. If motion is in the mover,
   There would have to be a twofold motion:
   One in virtue of which it is a mover,
   And one in virtue of which it moves.
6. If there were a twofold motion,
   The subject of that motion would be twofold.
   For without a subject of motion,
   There cannot be motion.
7. If there is no mover

It would not be correct to say that there is motion.

If there is no motion,

How could a mover exist?

8. Inasmuch as a real mover does not move,

   And a nonmover does not move,

   Apart from a mover and a nonmover,

   What third thing could move?

9. When without motion,

   It is unacceptable to call something a mover,

   How will it be acceptable

   To say that a moving thing moves?

10. For him from whose perspective a mover moves,

    There is no motion.

    If a real mover were associated with motion,

    A mover would need motion.

11. If a mover were to move,

    There would be a twofold motion:

    One in virtue of which he is a mover,

    And one in virtue of which the mover moves.

12. Motion does not begin in what has moved,

    Nor does it begin in what has not moved,

    Nor does it begin in what is moving.

    In what, then, does motion begin?

13. If motion was begun in the past,

    When should we say it began?

    Not in the nongoing, not in the gone.

How could it be in the nonmoved?

14. Since the beginning of motion
    Cannot be conceived,
    What gone thing, what going thing,
    And what nongoing thing can be conceived?

15. A moving thing is not at rest.
    A nonmoving thing is not at rest.
    Apart from the moving and the nonmoving,
    What third thing is at rest?

16. If without motion
    It is not appropriate to posit a mover,
    How could it be appropriate to say
    That a moving thing is stationary?

17. One does not halt from moving,
    Nor from having moved or not having moved.
    Motion and coming to rest
    And starting to move are similar.

18. That motion is the mover
    Itself is not correct.
    Nor is it correct that
    They are different.

19. It would follow from
    The identity of mover and motion
    That agent and action
    Are identical.

20. It would follow from

A real distinction between motion and mover

That there could be a mover without motion

And motion without a mover.

21. When neither in identity

Nor in difference,

Can motion and the mover be established as existent,

How can they be established as entities at all?

22. The motion by means of which a mover is manifest

Cannot be the motion by means of which he moves.

He does not exist before that motion,

So what and where is the thing that moves?

23. A mover does not carry out a different motion

From that by means of which he is manifest as a mover.

Moreover, in one mover

A twofold motion is unacceptable.

24. A really existent mover

Does not move in any of the three ways.

A nonexistent mover

Does not move in any of the three ways.

25. Neither an entity nor a nonentity

Moves in any of the three ways.

So movement and motion

And Agent of motion are nonexistent.

Chapter 24—Examination of the Four Noble Truths

1. If all of this is empty,
   Not arising, abiding, or ceasing,
   Then for you, it follows that
   The Four Noble Truths do not exist.

2. If the Four Noble Truths do not exist,
   Then knowledge, abandonment,
   Meditation, manifestation, and action
   Will be completely impossible.

3. If these things do not exist,
   The four fruits will not arise.
   Then there will not be the enterers into the path.
   If not, there will not be the eight [kinds of practitioner].

4. If so the assembly of holy ones
   Itself will not exist.
   If the Four Noble Truths do not exist,
   There will be no true Dharma.

5. If there is no doctrine and assembly
   How can there be a Buddha?
   If emptiness is conceived in this way
   The Three Jewels are contradicted.

6. The attainment of the real fruits
   And the Dharma will not exist, and the Dharma itself
   And the conventional truth
   Will be contradicted.

7. This understanding of yours
   Of emptiness and the purpose of emptiness

And of the significance of emptiness is incorrect.

As a consequence you are harmed by it.

8. The Buddha's teaching of the Dharma

Is based on two truths:

A truth of worldly convention And an ultimate truth.

9. Those who do not understand

The distinction drawn between these two truths

Do not understand

The Buddha's profound truth.

10. Without a foundation in the conventional truth

The significance of the ultimate cannot be taught.

Without understanding the significance of the ultimate,

Liberation is not achieved.

11. By a misperception of emptiness

A person of little intelligence is destroyed.

Like a snake incorrectly seized

Or like a spell incorrectly cast.

12. For that reason—that the Dharma is

Deep and difficult to understand and to learn—

That (the Buddha's) mind despaired of

Being able to teach it.

13. If a fault in understanding should arise

with regard to emptiness, that would not be good.

Your confusion about emptiness, however,

Would not belong to me.

14. For him to whom emptiness is clear,

Everything becomes clear.

For him for whom emptiness is not clear,

Nothing becomes clear.

15. If you foist on us

    All of your divergent views

    Then you are like a man who has mounted his horse

    And has forgotten that very horse.

16. If the existence of all things

    Is perceived by you in terms of their essence,

    Then this perception of all things

    Will be without the perception of causes and conditions.

17. Effects and causes

    And agent and action

    And conditions and arising and ceasing

    And effects will be rendered impossible.

18. Whatever is dependently co-arisen

    That is explained to be emptiness.

    That, being a dependent designation

    Is itself the middle way.

19. Something that is not dependently arisen,

    Such a thing does not exist.

    Therefore a nonempty thing

    Does not exist.

20. If all this were nonempty, as in your view,

    There would be no arising and ceasing.

    Then the Four Noble Truths

Would become nonexistent.

21. If it is not dependently arisen,
    How could suffering come to be?
    Suffering has been taught to be impermanent,
    And so cannot come from its own essence.

22. If something comes from its own essence,
    How could it ever be arisen?
    It follows that if one denies emptiness
    There can be no arising [of suffering].

23. If suffering had an essence,
    Its cessation would not exist.
    So if an essence is posited
    One denies cessation.

24. If the path had an essence,
    Cultivation would not be appropriate.
    If this path is indeed cultivated,
    It cannot have an essence.

25. If suffering, arising, and
    Ceasing are nonexistent,
    If through the path suffering ceases,
    In what way could one hope to attain it?

26. If through its essence
    non-understanding comes to be,
    In what way will understanding arise,
    Is not essence stable?

27. In this way you should understand

the activities of relinquishing and realizing and

Cultivation and the Four Fruits.

It [essence] is not appropriate.

28. For an essentialist,

Since the fruits through their essence

Are already realized

In what way could it be appropriate to cultivate them?

29. Without the fruits, there are no attainers of the fruits,

Or enterers into that stream,

From this it follows that the eight kinds of persons do not exist.

If these do not exist, there is no spiritual community.

30. From the nonexistence of the Noble Truths

Would follow the nonexistence of the True Doctrine.

If there is no Doctrine and no Community,

How could a Buddha arise?

31. Your enlightened Buddha,

Without relying on anything, would have come to be;

Your Buddha's enlightenment,

Without relying on anything, would have come to be.

32. If by means of your essence

Someone were unenlightened,

Even by practicing towards enlightenment

He could not achieve enlightenment.

33. With neither entities nor nonentities

There can be no action.

What could the nonempty do?

With an essence there is no action.

34. With neither entities nor nonentities

The fruit would arise for you.

So, for you a fruit caused by entities or nonentities

Could not arise.

35. If, for you, a fruit

Were given rise to by either entities or nonentities,

Then from entities or nonentities

How could a nonempty fruit arise?

36. If dependent arising is denied,

Emptiness itself is rejected.

This would contradict

All of the worldly conventions.

37. If emptiness itself is denied,

No action will be appropriate.

Action would not begin,

And without action there would be no agent.

38. If there is essence, all of the flux

Will be unarising, unceasing,

And static. And so, the entire sphere of

Various arisen things would be nonempty.

39. If the empty does not exist,

Then action will be without profit.

The act of ending suffering and

Abandoning misery and defilement will not exist.

40. Whoever sees dependent arising

    Also sees Suffering

    And Misery and its arising

    And the path to its cessation.

NOTES

1 – A fine point, suggested by Janet Gyatso: Though in the end, as we shall see, ultimate reality depends on our conventions in a way, it depends on our conventions in a very different way from that in which conventional reality does. Despite this difference in the structure of the relation between convention and reality in the two cases, however, it remains a distinctive feature of Nāgārjuna's system that it is impossible to speak coherently of reality independent of conventions.

2 – Some argue that there is no real difference between causes and conditions; some that a cause is one kind of condition; some that efficient causes are causes, and that all other causal factors contributing to an event are conditions. Some like my reading. I have

found no unanimity on this interpretative question, either among Western Buddhologists or among Tibetan scholars. The canonical texts are equivocal as well. I do not argue that the distinction I here attribute to Nāgārjuna, which I defend on hermeneutical grounds, is necessarily drawn in the same way throughout the Buddhist philosophical world, or even throughout the Prāsaṅgika-Mādhyamika literature. But it is the one Nāgārjuna draws.

3 – There are two kinds of case to be made for attributing this distinction to Nāgārjuna in this chapter. Most generally, there is the hermeneutical argument that this makes the best philosophical sense of the text. It gets Nāgārjuna drawing a distinction that is clearly suggested by his philosophical outlook and that lines up nicely with the technical terms he deploys. But we can get more textually fine-grained as well: in the first verse, Nāgārjuna explicitly rejects the existence of efficacy, and pointedly uses the word "cause." He denies that there are such things. Nowhere in chapter 1 is there a parallel denial of the existence of conditions. On the contrary, in verse 2 he positively asserts that there are four kinds of them. To be sure, this could be read as a mere partitioning of the class of effects that are described in Buddhist literature. But there are two reasons *not* to read it thus. First, Nāgārjuna does not couch the assertion in one of his "It might be said" locutions. Second, he never takes it back. The positive tone the text takes regarding conditions is continued in verses 4 and 5, where Nāgārjuna asserts that conditions are conceived without efficacy *in contrast with the causes rejected in 1*, and where he endorses a regularist view of conditions. So it seems that Nāgārjuna does use the "cause"/"condition" distinction to mark a distinction between the kind of association he endorses as an analysis of dependent arising and one he rejects.

4 – The Venerable Lobzang Norbu Shastri has pointed out to me that this verse may not in fact be original with Nāgārjuna, but is a quotation from sutra. It appears in the *Kamsika-prajñapāramitasutra* as well as in the *Mādhyamika-Śālistambasūtra*. Inasmuch as these are both late texts, their chronological relation to Nāgārjuna's text is not clear.

5 – There is also a nice regress to be developed here that Nāgārjuna does not explicitly note in this chapter, though he does make use of it later in the *Mūlamādhyamikakārikā* (chap. 7): Even if we did posit a causal power mediating between causes and their effects, we would have to explain how it is that a cause event gives rise to or acquires that power, and how the power brings about the effect. We now have two nexuses to explain, and now each one has an unobservable entity on one end. In Garfield 1990 I explore this problem in more detail and note that it is explored both by Hume and by Wittgenstein in the *Tractatus*.

6 – The Mādhyamika position implies that we should seek to explain regularities by reference to their embeddedness in other regularities, and so on. To ask why there are regularities at all, on such a view, would be to ask an incoherent question: the fact of explanatorily useful regularities in nature is what makes explanation and investigation possible in the first place, and is not something itself that can be explained. After all, there is only one universe, and truly singular phenomena, on such a view, are

inexplicable in principle. This may connect deeply to the Buddha's insistence that questions concerning the beginning of the world are unanswerable.

7 – A formula familiar in the sutras of the Pali canon.

8 – Though this is beyond the scope of this essay, this last fact, the emptiness of the relation between the conventional world of dependency arisen phenomena and emptiness itself is of extreme importance at another stage of the Mādhyamika dialectic, and comes to salience in the *Vigrahavyāvartanī* and in Candrakīrti's *Prasannapadā*. For this amounts to the emptiness of the central ontological tenet of Nāgārjuna's system, and is what allows him to claim, despite all appearances, that he is positionless. That is, Nāgārjuna thereby has a ready reply to the following apparent *reductio* argument (reminiscent of classical Greek and subsequent Western challenges to Pyrrhonian skepticism): You say that all things are, from the ultimate standpoint, nonexistent. That must then apply to your own thesis. It, therefore, is really nonexistent, and your words are hence only nominally true. Your own thesis, therefore, denies its own ground and is self-defeating. This objection would be a sound one against a view that in fact asserted its own inherent existence, or grounded its truth on an inherently existing ontological basis. But, Nāgārjuna suggests here, that is not the case for his account. Rather, on his analysis, everything, including this very thesis, has only nominal truth, and nothing is either inherently existent, or true in virtue of designating an inherently existent fact.

9 – This, of course, is the key to the soteriological character of the text: reification is the root of grasping and craving, and hence of all suffering. And it is perfectly natural, despite its incoherence. By understanding emptiness Nāgārjuna intends one to break this habit and extirpate the root of suffering. But if in doing so one falls into the abyss of nihilism, nothing is achieved. For then, action itself is impossible and senseless, and one's realization amounts to nothing. Or again, if one relinquishes the reification of phenomena but reifies emptiness, that issues in a new grasping and craving—the grasping of emptiness and the craving for nirvana—and a new round of suffering. Only with the simultaneous realization of the emptiness but conventional reality of phenomena and of the emptiness of emptiness, argues Nāgārjuna, can suffering be wholly uprooted.

10 – Paradox may appear to loom at this point. For, one might argue, if emptiness is empty, and if to be empty is to be merely conventional, then the emptiness of any phenomenon is a merely conventional fact. Moreover, to say that entities are merely conventional is merely conventional. Hence it would appear optional, as all conventions are, and it would further seem to be open to say that things are in fact nonconventional, and therefore nonempty. This would be a deep incoherence indeed at the heart of Nāgārjuna's system. But the paradox is merely apparent. The appearance of paradox derives from seeing "conventional" as functioning logically like a negation operator—a subtle version of the nihilistic reading Nāgārjuna is at pains to avoid, with a metalinguistic twist. For then, each iteration of "conventional" would cancel the previous occurrence, and the conventional character of the fact that things are

conventional would amount to the claim that really they are not, or at least that they might not be. But in Nāgārjuna's philosophical approach, the sense of the term is more ontological than logical: to say of a phenomenon or of a fact that it is conventional is to characterize its mode of subsistence. It is to say that it is without an independent nature. The fact that a phenomenon is without independent nature is, to be sure, a further phenomenon—a higher-order fact. But that fact, too, is without an independent nature. It, too, is merely conventional. This is another way of putting the strongly nominalistic character of Mādhyamika philosophy. So, a Platonist, for instance, might urge (and the Mādhyamika would agree) that a perceptible phenomenon is ultimately unreal. But the Platonist would assert that its properties are ultimately real. And if some Buddhist-influenced Platonist would note that among the properties of a perceptible phenomenon is its emptiness and its conventional reality, s/he would assert that these, as properties, are ultimately real. This is exactly where Nāgārjuna parts company with all forms of realism. For he gives the properties a nominalistic construal, and asserts that they, including the properties of emptiness and conventionality, are, like all phenomena, merely nominal, merely empty, and merely conventional. And so on for their emptiness and conventionality. The nominalism undercuts the negative interpretation of "conventional" and so renders the regress harmless.

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KARL H. POTTER

*Freedom and Determinism from an Indian Perspective**

It is a common misconception that the commitment of Indians to the so-called "law of karma," transmigration, and the beginninglessness of the self involves them in some sort of fatalism. In a paper delivered at the Fourth East-West Philosophers' Conference in Hawaii in 1964, Kalidas Bhattacharyya has once again emphasized that the texts show that Indian philosophers accept no kind of fatalism. Not only do practically all the Indian systems accept the possibility of the ultimate liberation of each and every self, but they also vehemently affirm the freedom of every individual here and now to choose and act according to his choice.

Nevertheless, the doctrine of karma does involve a fairly strong form of determinism. According to Bhattacharyya,

... the Law of *Karma*, properly understood, is *not* against freedom of action. It is true that, according to this law, my present life is somehow determined by the merits and demerits of what I did in my previous life, that life, again, by the merits and demerits of what I had done in a life still previous, and so on ad infinitum, but this does not mean that everything of a particular life is determined. It has been explicitly stated that only three things in my life are determined. They are (1) the bodily and mental make-up and social position at the time of birth in that particular life (*jāti*), (2) the span of that life (*āyuḥ*), and (3) particular experiences with all the hedonic tones that they have in that life and all that is necessary as objects or direct or indirect causes of those experiences (*bhoga*). Among these direct or indirect causes are included my physiological movements and actions which proceed through attachment and repulsion but not actions at the moral and spiritual levels.

For

moral actions … channelizing … normal biological activities are free in the sense that … there is no blind submission [to the emotions].… Actions which proceed consciously through attachment and repulsion and are consequently accompanied by an I-feeling are free only in the sense that in their case there is always a possibility of not having submitted to them.[1]

In other words, the person, of beginningless origins, matures by moving successively from stages of his being where his movements are completely controlled by passions to a stage where he "channelizes" his emotional responses, and finally to a stage where, through detachment from the passions, he is completely free and in control of himself.

Just how "hard" a determinism Bhattacharyya is specifying is not altogether clear, and it is the aim of this paper to try to clarify it. I shall suggest that we regularly confuse determinism with determinateness, and that what Bhattacharyya means to propound as the Hindu view of freedom and determinism is a position perfectly compatible with determinism, although involving indeterminacy of some events, namely those he says are not "determined"—moral and spiritual actions. Moreover, I shall suggest that the distinction between determinacy and determinism is one which we can utilize to advantage in resolving the issues surrounding the notion of freedom, provided we accept, as the Hindus do, the hypothesis of the beginninglessness of the agent-self. But, as I see it, this is a price we must be prepared to pay whether we accept determinism or not.

Let us begin with the notion of the beginninglessness of the self. This strange-sounding hypothesis is, it has been argued, entailed by the joint acceptance of determinism and the existence of morally responsible agents. The argument was set forth by John Wisdom in 1934[2] and I have attempted[3] to bring it up to date by deriving the conclusion, from recent analysis of "having an ability,"[4] that a responsible agent must be beginningless.

My argument, summarized briefly, is as follows: according to contemporary analyses, "A has the ability to x" is to be rendered as "A is in a condition such that, given opportunity, if he tries to x then he succeeds a certain percentage of the time." In applying this to a particular case, we will want to identify times as t_1, t_2, etc., and it will be convenient if the higher-numbered times are construed to be earlier than the lower-numbered ones. Then a plausible analysis along the lines suggested of "Smith has the ability to stamp-his-foot-at-t_1" will be "There is an independently specifiable condition C such that, for any time t_n, if at t_{n+1} Smith is in C and, given opportunity, tries at t_{n+1} to stamp his foot, then he succeeds in stamping his foot at t_n a certain percentage of the time; and Smith is in C at t_2.[5] Now, furthermore, if Smith has the ability to stamp his foot at t_1 it must also be true that he has the ability to try to stamp his foot at t_2. Since trying to do something is as much an action as doing something, we can proceed to analyze "Smith has the ability to try at t_2 to stamp-his-foot-at-t_1" in a fashion parallel to that in which we have just analyzed "Smith has the ability to stamp-his-foot-at-t_1"; the analysis of "Smith has the ability to try at t_2 to stamp-his-foot-at-t_1" will be "There is a condition C such that, for any time t_n, if at t_{n+1} Smith is in C and, given opportunity, tries to try-at-t_n-to-stamp-his-foot-at-t_{n-1}, then he succeeds in trying-at-t_n-to-stamp-his-foot-at-t_{n-1} a certain percentage of the time; and Smith is in C' at t_3."[6]

If the moves I have made to this point are allowed, it is easy to see that a regress is under way. Furthermore, if we reflect that to attribute responsibility to Smith for stamping his foot requires our likewise attributing to him the ability to stamp his foot, and that in like fashion if he is responsible for trying to stamp his foot he must be able to try to stamp his foot, it will become apparent that if in

general the ability to try to *x* is a prerequisite of our attributing responsibility to someone for *x*-ing, the agent must be beginningless. For if he is not beginningless, there is some action of his which he is unable to try to perform and yet his ability to perform it is a necessary condition for his being responsible for his performance of *x*. In short, if the agent is not beginningless he cannot be responsible for any of his actions—at least on the accounts of responsibility and of having abilities which I have adopted in the argument.

No doubt a characteristic response to this will be that either something has gone wrong with the argument or else, if it is indeed valid, it serves as a *reductio ad absurdum* of the presupposed analysis of "having an ability" or of the presumed account of responsibility. Since the validity of the argument is the subject of another paper I shall not argue out objections to it here. I think I can take care of the objections I have found in the literature. But I am not inclined to take the argument as a *reduction* of the analyses of ability or of responsibility, for I am not at all convinced that it is possible to provide any suitable alternative analyses. In any case, what I want the reader to do now is to accept for the moment the possibility that moral agents are beginningless—which is what the Indians hold as a matter of course—and to ask whether, given this assumption, a fresh and promising start can be made on that very vexed question: how to reconcile the agent's freedom with determinism?

Now in the first place, the beginninglessness of agents certainly appears to remove one serious obstacle to squaring freedom with determinism, since it makes it possible to deny that all the causes of the agent's actions are ultimately traceable "outside" him. But this is a rather abstract advantage, for it is not at all clear that the most severe difficulties about freedom and determinism turn on the

"spatio-temporal" location of the ultimate causes of actions. What, then, are the more severe difficulties ?

Out of the reams of discussion about this point I wish to select for study here the following formulation of the problem: how, within a deterministic context, can we make sense of the phrase "could have done otherwise" in "A x-ed, but he could have done otherwise, so he was free and responsible" and "A x-ed, but he could not have done otherwise, so he is not responsible because he was not free." This seems to be a sufficiently profound way to pose the issues; indeed, philosophers have been in such despair over solving this question that they have regularly turned to an attempt to qualify or modify the notions of freedom and responsibility, or else they have explicitly or implicitly admitted some sort of indeterminism.

At first glance it might seem that the analysis of "having an ability" itself constitutes an analysis of "could have done otherwise." But to say that A could have done otherwise than x is not only to say that he had the ability to x but also to say that he had the ability to do something other than x. Just how to formulate this is something of a puzzle, as we shall see. Nevertheless, the line looks promising. For if A may have had the ability to x without it necessarily being the case also that he could have done otherwise, then we have a way of distinguishing A's actions from his mere behavior (A's actions are those he has the ability to do and, given opportunity, does, as opposed to things which just happen to him) as well as a way of distinguishing necessary conditions for actions for which A is responsible from those which are just his actions (A is only responsible for actions which he has the ability not to perform as well as to perform). As a result A can do actions for which he is not morally responsible as well as those for which he is, and this enables us to adopt our common practices of social and legal discriminations

—praising or excusing—free from the suspicion that these practices rest on some ultimate confusion.

The promising line, then, equates "A could have done otherwise" with "A had the ability either to *x* or to do something other than *x*." Utilizing the expansion of ability-talk suggested previously, this will come to something like the following:

A could have done otherwise than *x* at t = There is a condition C such that for any time t_n, if at t_{n+1} A is in C and, given opportunity both to *x* and to $\bar{x}$ tries to *x*, then he succeeds in *x*-ing at t_n a certain percentage of the time; but if at t_{n+1} A is in C and, given opportunity both to *x* and to $\bar{x}$, tries to $\bar{x}$, then he succeeds in $\bar{x}$-ing at t_n a certain percentage of the time; and at t + 1 A was in condition C and had opportunity both to *x* and to $\bar{x}$.

In the above, the expression "*x*" stands for a set of actions of a specifiable sort, and the expression "$\bar{x}$" stands for a set of actions such that an agent cannot perform both *x* and $\bar{x}$ at the same time. Thus, to take an example, to say that A could have done otherwise than stamp his foot at t is, on the analysis given, to say that there is a condition C such that, for any time t_n, if at t_{n+1} A is in C and, given opportunity to stamp his foot or to do some other relevant action as an alternative, tries to stamp his foot at t_n, then he succeeds in stamping his foot at t_n a certain percentage of the time; but if at t_{n+1} A is in C and, given the same sort of opportunity, tries to do one of the other relevant actions, then he succeeds in that alternative action at t_n a certain percentage of the time; and A was in condition C at t and the opportunity of the sort mentioned was presented to him at t.

It is evident that the ranges covered by pairs of alternative sets of actions *x* and $\bar{x}$ may vary according to cases. But whatever the scope of *x* + $\bar{x}$, to say that A could have done otherwise than perform *x* is in

effect to say that A has a complex ability, the ability-to-x-or-$\bar{x}$, and that the circumstances do not preclude either action.

The next question to consider is whether this account violates determinism. Are there necessarily any uncaused events in the story developed here? Suppose that A tried and succeeded in doing x at t_1 although he could have done otherwise; was there a sufficient condition for his doing x? Yes; it consisted in his having the opportunity at t_2 to x or $\bar{x}$, having the ability to x or $\bar{x}$, and trying to x. Each of these three causal factors is itself an event. Does each in turn have causes ? Suppose we can develop an extended story on the basis of which we can answer "yes" in each of the three cases by appealing to prior events, and so on indefinitely. This regress is no longer in itself a defect, for *ex hypothesi* we have accepted beginninglessness.

For example, take A's trying to x at t_2. What is its cause, a sufficient condition for it ? It seems to me that "tries" denotes an action; it follows, if that is the case, that *if* A could have done otherwise than to try at t_2 to x there have occurred three causal factors (of the sort specified before) jointly sufficient to produce A's trying at t_2 to x. But it is not necessary that A could have done otherwise than to try at t_2 to x, even though he could have done otherwise than to x at t_x. That is, it is quite possible that A could not have done otherwise than try to x at $t + 1$, though he could have done otherwise than x at t. E.g., he might have been compelled to try to stamp his foot at $t + 1$, but quite able to fail to do so because, say, he failed to keep his ankle firm and so succeeded not in stamping his foot but only in turning his ankle.[7] The fact that A could have done otherwise than x does not entail that A could have done otherwise than try to x. Thus we can credit A with the range of abilities he eventually grows to have at the time he comes to have them without being forced to attribute that

same range of abilities to him for all previous times. In short, our account does not render us incapable of explaining growth and acquisition of abilities.

The explanation of growth is of the utmost importance. For if it were impossible to explain the generation of wider-ranging abilities from narrower ones the hypothesis of beginninglessness would avail us little in our search for a solution of the freedom-determinism puzzle. It is this kind of change, the kind Bhattacharyya calls the "channelizing" of our normal activities, which leads on to increased skills, capacities, and abilities; in short which provides us with freedom. But if it is the case that in order that an agent have such increased abilities at any time he must always have had them, then surely growth is precluded. This is apparently a significant option in Indian philosophy. The Advaita Vedānta, for example, holds that the self has always been free, and in Buddhism Nāgārjuna seems to have held that there is no growth; in both systems enlightenment is sudden and does not involve progressive, causative growth toward freedom.

The formula covering the causes of actions which we might or might not perform is this: presence of opportunity for a suitably wide range of actions + a suitably wide range of ability + trying. If each of these three causal factors is in turn caused, and each of the causal factors for those causes is caused, etc., then the resulting system is deterministic.[8] Indeed, such an account involves a harder determinism than is seemingly implied in Bhattacharyya's words quoted at the outset, for he apparently reserves certain events— those that proceed from detachment—as not fully caused.

But the determinism I have described does not preclude freedom, if by freedom we mean the ability to channel our actions in the directions we in-tend, coupled with the capacity for growth, for

acquiring new abilities. For instance, take the supposed defect in any such deterministic account as ours, namely, that trying to x, itself an action, must have a cause and so we could not have helped trying to x. This objection falls to the ground provided we can explain how it is that at some point in the regress—x-ing, trying to x, trying to do that, etc.—there can be the production of a determinable ability from a determinate one, that is, of the ability-to-y-or-$\bar{y}$ from a mere ability to z. If we can explain this relation, then the fact that, say, we could not have done otherwise than try to x does not entail that we could not have done otherwise than x. It is the assumption of this entailment which is at the root of the particular puzzle about freedom and determinism now under consideration, the assumption, to repeat, that if A could not have done otherwise than try to x, then he could not have done otherwise than x.

The fault in the assumption in question might be labeled the Fallacy of Misplaced Determinateness. We are tempted to think that if A intends to do something, then there is some fully determinate event x he intends to bring about; thus either it is the case that he intends to bring about that event or it is not the case that he intends to bring it about, and that is the end of it. This is quite uncritical. When we try to do something, we are usually intending to bring about one or another of several events falling within a certain range. When we say "A tried to x and succeeded," we do not normally mean that A was fully cognizant in advance of the precise, determinate nature of the event which he in fact later produced, but rather that an event of its sort, perhaps not precisely that one but something enough like it to count, is the sort of event A wanted to produce, and he acted in such a way as happened to bring one such event about. It is normally not accurate to say that the agent intends to bring x about, if x is a fully determinant event. Rather we ought to say that the agent intends to bring about x or y or z, and performs action a

by way of trying. In such an instance, then, A neither intends to bring about x nor does he not intend to bring it about.

When an agent tries to do something and succeeds, two events are fully determinate, namely, what he did when he tried and what he succeeds in doing. What is not determinate is what he tried to do, his intention. For example, A, trying to stamp his foot, flexes his leg muscles in a certain fashion and causes his foot to hit the ground at place p and time t with a determinate impact i. This determinate event is the action A succeeded in performing; the particular flexing of his leg muscles (at a certain time and place, etc.) is what he did in trying to stamp his foot; but what he tried to do was not to cause his foot to hit the ground at place p and time t with impact i, but to bring about either that determinate action or something enough like it to satisfy the description "stamp his foot" in "he is trying to stamp his foot." A given trying, then, is a determinate event considered under a determinable description. That such a determinate event is caused, that is, that the determinate flexing has a sufficient condition S, does not of itself guarantee that the determinate event constitutes a trying-to-stamp-his-foot action. Although given S the determinate flexing must follow, what need not follow is that that flexing be a case of A's trying to stamp his foot. By the same token, that A could not have done otherwise than try to stamp his foot does not of itself guarantee that the determinate flexing took place, and therefore since that determinate flexing is the cause of the determinate stamping at place p, time t, and with impact i, it might well have been that A, though he could not have done otherwise than try to stamp his foot, could have done otherwise than stamp it in that particular determinate way. And from that it follows too that he could have done otherwise than stamp it at all—as we have already suggested—even though he could not have helped trying to stamp it.

A trying, then, consists of a determinate event considered under a determinable description. This determinable description is produced in A by the nature of his abilities. Thus a trying is a result of conditions jointly sufficient to produce a determinate event—say, a determinate flexing—together with the conditions sufficient to produce in A the ability to intend a certain determinable range of events as outcomes of his actions.

If something is red, then it is some one determinate shade of red, say, crimson, and not scarlet or shocking pink or any other determinate shade of red. That is all right. But because A has an ability to x or $\bar{x}$, it does not follow that he has the ability to x, say, which precludes an ability to $\bar{x}$, even though x and $\bar{x}$ are themselves mutually exclusive alternatives. A determinable ability, unlike a determinable shade of color, can occur without it being the case that only one of the mutually exclusive determinates falling under it occurs. (That is not to say that such an ability may occur without any determinate event occurring along with it: one may admit, without denying what is being maintained here, that at every moment in time there is at least one completely determinate event occurring.) Thus I may intend to x-or-$\bar{x}$ without it being either the case that I intend to x or that I intend to $\bar{x}$. Furthermore, I may try to develop the ability to x-or-$\bar{x}$ without either trying to develop the ability to x or trying to develop the ability to x. We have seen how such determinable abilities enter into the causal account of actions. There is no reason to deny that one such ability may be caused to develop from others; we know that it happens. Abilities can be viewed as selective mechanisms, distinguishing a range of events according to a disjunction of relevant features. Intentional selectivity of this sort need involve no objectionable appeal to privileged access: abilities may not involve inner experiences at all in their identification, but be recognized and classified according to the characteristic behavioral

symptoms displayed by those who have them. "Conceptual schemes" or "language-games" are larger-scale examples of abilities which function as selective mechanisms.

The point, however, is that the occurrences of such abilities are among the causal factors of human actions and can themselves be developed from more determinate, less wide-ranging abilities. It is this process to which I believe Bhattacharyya is referring when he speaks of the channelizing function of moral and spiritual activities. It is not that such selective sets or dispositions are uncaused, but rather that they are determinable without being determinate; thus their development can take place without having to be exercised in some determinate fashion upon their maturation. This corresponds to the experience of choosing, which many believe to be at the heart of the notion of freedom. Blind submission to emotions involves the production of relatively determinate actions by relatively determinate causes. Where trying comes into the picture, there enters an element of selection and choice. Freedom consists, according to the Indian view, in enriching the scope of one's abilities so that one is minimally dependent upon determinate passions produced by "external" events not of one's choosing. The detachment recommended in Indian texts is precisely this broadening of one's responsive awareness coupled with development of non-dependence on external passions.

If this is correct, we need not qualify the Indian commitment to determinism to the extent that Bhattacharyya seems willing to. We may admit that our abilities are causal factors of our actions, and that every event— actions and possession of abilities included—has a sufficient condition. We have seen that it is possible, even under this form of determinism, to make sense of "could have done otherwise," of choice, growth, and acquisition of abilities, even of the characteristics of the Indian's complete freedom.

Despite all this, it is possible to raise doubts about freedom and determinism on grounds that are not touched by this account, along the following lines. Suppose that each *determinate* event which occurs in history, whether it is a human action, a trying, or however we choose to describe it, has as a sufficient condition other completely determinate events which in turn have their determinate antecedents, etc. If this is so, it is in principle possible for someone who knows all the laws of nature and who also knows the determinate state of affairs which pertains at a given point in time to predict all subsequent determinate events. Furthermore, this will be possible even if the universe is beginningless. Now since it is possible to predict each and every determinate event in this way, one might argue that determinism precludes freedom precisely because it allows for complete predictability.

This particular line of doubt is, to my knowledge, not a source of concern to Indian philosophers and I believe it is possible to understand why. Where the argument from predictability assumes that complete predictability undermines freedom, the Indian makes no such assumption. Since the freedom he dreams of is freedom from dependence on passions coupled with responsive awareness, he can claim with perfect justice that complete predictability, far from undermining freedom, provides conditions for it which, though perhaps not sufficient, are important and possibly even necessary. If part of one's aim in life is broadening one's responsive awareness, the more one knows of the determinate events which will occur, the more aware and the more responsive one can be. For example, if one possesses special powers of prediction and is at the same time responsive to the needs of others, one is in a position to assist them in improving their abilities. Recognition of this is characteristic of the Indian attitude toward the sage and the *guru*.

But surely if one could predict with certainty each and every event one would not try to do anything! Though this sounds like a terrible thing to us, the Indians welcome it and endorse it as precisely what is to be worked for. After all, striving is the condition of bondage and results from dependence on our attachment to things, and on passions whose source is external to us. If we were indeed fully omniscient we would, as has just been said, not try to do anything, that is, to seek anything. If this raises any problems at all for Indians, it raises them for a view such as Mahāyāna Buddhism's doctrine of a *bodhisattva* who is supposed to be omniscient and still capable of working to help others achieve freedom. One may well wonder whether these attributes are consistent, and the issue is to some reflected also in the Hindu debate over *jīvanmukti* and *videhamukti*, whether one can be free and still living.

A full treatment of this last point lies beyond the scope of this paper. We may ask, finally, whether the possibility of attaining complete predictability militates against anything that was offered concerning the nature of the relative freedom one gets through broadening one's abilities. I think the answer is no. Who does the attaining? If I attain this kind of omniscience, I shall have a condition of complete freedom in my grasp, but this need not affect you. If I offer you my knowledge of what will happen, as a way of assisting you to your freedom, you may not believe me, you may not under-stand me, you may not know how to use the information I give you. Unless you too are free you will still have to grow in your abilities, responsiveness, and control. Indeed, so may I, even in my omniscience, though it seems difficult to deny that ability to foresee the future must give a man considerable advantage in developing his attitudes commensurately with his intellectual prowess, provided he has the wit to use it. But one man's foreknowledge is not necessarily pertinent to another's problems, and for our problems in this world,

lacking foreknowledge, the utility of the categories of abilities, opportunity, and trying is unaffected by the possibility that we may eventually gain omniscience. Man may collectively attain foreknowledge through science; there is no guarantee that this will provide him, individually, freedom of the sort the Indian works for, though under certain conditions it might go a long way toward that goal.

What is important is just to see that the possibility of complete predictability solves no actual problems which face man in the conduct of his affairs, except insofar as it stands as an ideal for rational inquiry to aspire to. The problem of gaining freedom is one we cannot merely put aside until science is able to predict all, and that is why we must adopt categories for the analysis of human causality and freedom other than those limited to relations among fully determinate events. Freedom as a practical goal does indeed require indeterminacy, but it does not require indeterminism, and it certainly does not require abandonment of the scientific effort to relate events in their ultimate determinateness. It does, however, require us to discuss the causes of our actions in terms which we can understand and use now, and given our current powers, these terms must involve indeterminacy. Perhaps we shall never have complete knowledge of the laws governing events in all their determinacy; perhaps we can never hope to know the completely determinate state of the universe and so will not in fact ever be able fully to predict the future. Perhaps, too, we shall never become completely free, i.e., responsively aware and yet unattached to our passions. That is no reason not to work for both goals, and there is no incompatibility between them.

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[1] Kalidas Bhattacharyya, "The Status of the Individual in Indian Metaphysics," in Charles A. Moore, ed., *The Indian Mind* (Honolulu: East-West Center Press and University of Hawaii Press, 1967), pp. 302–303.

[2] John Wisdom, *Problems of Mind and Matter* (Cambridge, England: Cambridge University Press, 1934), pp. 123–126.

[3] In a paper which was read at the Conference on the Self held at Wooster College in March, 1965, to be published in a volume of proceedings emanating from that conference.

[4] Such an analysis is given by Arnold S. Kaufman in his paper "Ability" *Journal of Philosophy* 60 (1963), 537–551.

[5] Kaufman, *ibid*., suggests that the state C might be thought of as physiological, but this is not a necessary assumption.

[6] Although I grant that the phrase "tries to try" is not used, I think this fact can be explained consonantly with the thesis that "trying to *x*" denotes an action distinct from *x*-ing. The argument is contained in the paper referred to in footnote 3.

[7] This rather unedifying example should not blind us to the fact that our ability to fail when we try to do something and instead do something else is a very important element in creativity. If we could never fail in what we try to do, we should not discover modes of action which prepare the way for new and broader abilities. A man who turns his ankle by mistake may learn to turn it on purpose if the occasion subsequently demands.

[8] It is deterministic despite the fact that there may be occasions on which ability + opportunity + trying is not followed by success, since in talking of abilities we are in-evitably involved in a statistical account. The statistical element in the analysis of "having an ability" proposed is, I think, an ineliminable aspect of any analysis of that phrase which will satisfy. This view is on the whole supported by Kaufman, *op. cit*., and by Irving Thalberg, "Abilities and Ifs," *Analysis* 22 (1962), 121–126.

JAMES DUERLINGER

REDUCTIONIST AND NONREDUCTIONIST THEORIES OF PERSONS IN INDIAN BUDDHIST PHILOSOPHY

INTRODUCTION

In *Reasons and Persons*, Derek Parfit quoted passages from Th. Stcherbatsky's English translation of the ninth chapter of Vasubandhu's *Treasury of Knowledge* (*Abhidharmakośa*), a 5th century Buddhist text, in support of his claim that the adoption of a reductionist theory of persons is not a peculiarly Western phenomenon.[1] This chapter has been recently retranslated into English, under the title, 'Refutation of the Theory of Selfhood: a Resolution of the Questions About Persons' specifically for the purpose of facilitating its careful study by Western philosophers.[2] This new translation, which I shall call the 'Refutation,' does indeed help us to see that the chapter contains what may be regarded as the classic statement of the Buddhist version of the reductionist theory of persons of the sort held by David Hume and Parfit himself.[3] In what follows I shall show that Vasubandhu's statement is in fact a statement of the reductionist theory and explain in some detail the form this theory takes. Moreover, since the scripture-based Sautrāntika theory set out in Vasubandhu's statement is virtually the same as the Vaibhāṣika theory (as well as the Theravāda theory), and

is one with the theories held by the Sautrāntika logicians, Yogacārins, and Svātantrika-Mādhyamikas in its reductionist character, I shall use it here to illustrate the reductionist character of the theory of persons attributed to the Buddha within most of the Indian Buddhist schools of philosophy.[4]

But reductionism is not, as Parfit and many others have assumed, the only credible and widely-accepted interpretation of the Buddha's theory presented by the Indian Buddhists themselves. In the 'Refutation' itself, of course, Vasubandhu presents and rejects the Vātsīputrīyas' nonreductionist account of the Buddha's theory. But their account, which became a favorite target of the Indian Buddhist philosophers,[5] is not the form the nonreductionist theory ultimately takes within Indian Buddhism. Here I shall only comment on the general form of their interpretation. My chief concern will be a much more successful nonreductionist challenge to the reductionist interpretation of the Buddha's theory. This is the challenge made in the 8th century A.D. by Candrakīrti (hereafter, Candra), the founder of the Prāsaṇgika interpretation of Nāgārjuna's Mādhyamika school of Buddhist thought, in his *Introduction to the Middle Way: Verses with Commentary*.[6] On the basis of both independent argument and scriptural authority Candra presented a refutation of the reductionist interpretation and carefully formulated a Buddhist version of the nonreductionist theory of persons which accorded with the principles of the Mādhyamika philosophy set out by Nāgārjuna. That we may appreciate how, within the Indian Buddhist tradition, both reductionist and nonreductionist theories of persons were accommodated, I shall also explain Candra's nonreductionist theory and his rejection of Buddhist versions of the reductionist theory.[7]

To provide a classification of theories of persons adequate to the completion of my task I shall begin with the assumption that Indian theories of persons, unlike Western theories, are predicated on the

view that persons, as actually conceived in our everyday life from the first person singular perspective, do not really exist in the sense that they do not, so conceived, exist independently with natures of their own on the basis of which they are named and conceptualized.[8] Consequently, Indian theories of persons are basically attempts to explain what our true nature is and in what way we do in fact exist. The basic problem of self, in this context, is that our actual first person singular concept of ourselves, when subjected to careful analysis, can be shown to be without a real object, since it contains metaphysically irreconcilable components. For our purposes, we may say that the problem is generated by the fact that this concept contains both reductionist and nonreductionist components as they are defined by Parfit (and explained below). For instance, if we analyze how we actually talk and think about ourselves in everyday life from the first person singular perspective, we shall discover that we (i) appear to be distinct from our bodies and minds as unitary possessors of them, yet also to be the same as our bodies and minds by virtue of possessing both physical and mental properties, and (ii) appear both to be and not to be the same over time in dependence upon appearing to be both distinct from, and the same as, our bodies and minds. That nothing could answer to such a self-contradictory description is clear enough. Theories of persons, insofar as they are formulated in response to this problem, are attempts to deal with the fact that our actual concept of ourselves would seem to be without a real object.

Since we cannot very well simply abandon a first person singular concept of ourselves, the Indian philosophers respond to this problem in one of two ways. The most common response to the problem is to attempt to revise our actual concept of ourselves in an effort to provide it with a real object of some sort. So it is argued that this or that component of the concept is to be excised, and that

persons, correctly understood, really exist in some way. All such theories of persons may be called revisionist.[9] All reductionist theories of persons are revisionist in character because they excise the nonreductionist components of our actual concept of ourselves. Nonreductionist theories of persons will be revisionist in character when they excise the reductionist component of the concept.

The less common response to the basic problem of self is to retain our actual concept of ourselves and attempt to explain in what way we exist as we actually conceive ourselves. Some nonrevisionists argue that persons really exist, but in an inexplicable or indefinable form, as the Vātsīputrīyas do, and others outright reject the real existence of persons, as Candra does, and claim that persons exist in name or concept only, or merely by convention, in the sense that, although they do not by themselves possess a nature by virtue of which they can be named and conceptualized, they are assumed, by convention, to possess such a nature. The former view may be called the realist, the latter, the conventionalist, version of the nonrevisionist theory.[10] All nonrevisionist theories are nonreductionist in character.

The reductionist theory, as Parfit presents it, includes theses about both our existence and our identity over time. The theses are (i) that our existence is reducible to the existence of a brain or body and the occurrence of a series of interrelated physical and mental events, and (ii) that our identity over time is reducible to a set of impersonal facts about a brain or body and the occurrence of a series of interrelated physical and mental events. Impersonal facts, he explains, are those which can be described without presupposing our existence or identity and without explicitly claiming that we have experiences. Parfit says that reductionists claim that we exist, but need not explicitly claim that we exist, since in their view a complete description of reality can be given without claiming that we exist.

What is common to every nonreductionist theory, as characterized by Parfit, is simply the denial of the above two theses.[11]

Parfit's characterization of the reductionist view of our existence implies an implicit reductionist thesis concerning our unity. For if our existence is reducible to that of our bodies or brains, which are made up of parts, and a series of physical and mental events, more than one of which can occur at any given moment in the series, our unity at any given moment must also be reducible to a relation between our bodily parts and the collection of our physical and mental states at that moment. In what follows I shall take it for granted that the reductionist theory of our existence has this further reductionist thesis as an implication and that the nonreductionist denies it. Moreover, since the impersonal facts to which Parfit would reduce our identity at different times would seem to be facts about a continuum of physical and mental states, activities, or processes bound together by relationships which preserve the character of the phenomena within it on the basis of which our actual concept of ourselves is formed, in what follows I shall more simply speak of the reductionist and nonreductionist theories as the views that our existence and identity at different times are and are not, respectively, reducible to those of our bodies and mental states in a continuum which preserves the character they possess in reliance upon which our actual concept of ourselves is formed.

The classical form of the nonreductionist theory is the separate self theory, according to which we possess an existence and identity over time separate from those of our bodies and mental states in a continuum. Vasubandhu explicitly challenges versions of the separate self view as presented by the Sāṃkhyas and Vaiśeṣikas, whom in the 'Refutation' he calls the Tīrthikas. The Vātsīputrīyas propound a minimalist version of the nonreductionist theory which Vasubandhu in the 'Refutation' subjects to an extensive analysis. This

is the view that our existence and identity over time are neither reducible to, nor separate from, those of our bodies and mental states in a continuum. The Vātsīputrīyas claim that we really exist, in spite of the inexplicability of our existence. Candra rejects the Vātsīputrīyas' claim on the ground that the inexplicability of our existence is the very reason our real existence is to be denied.[12] Vasubandhu and Candra agree that our actual concept of ourselves appears to have, but does not have, a real object, while the Vātsīputrīyas claim that its object is real, but falsely appears to exist separately from our bodies and mental states. Candra does not, as Vasubandhu does, attempt to revise the concept for the sake of providing it with a real object, nor does he, as the Vātsīputrīyas do, provide it with a real object whose existence is inexplicable.

Since I have included Vasubandhu among those who hold a reductionist theory of persons, even though he does not explicitly say that our existence and identity over time are reducible to those possessed by our bodies and mental states in a continuum, I must explain why I have classified his theory in this way. First of all, we should notice that Parfit's characterizations of reductionism and nonreductionism do not commit their adherents to any particular metaphysical analysis of our bodies and mental states. Parfit himself states, in fact, that physicalist, mentalist, and dualist versions of the reductionist theory are possible.[13] For this reason these versions may be classified as different forms of the reductionist theory. Secondly, Parfit's characterizations do not commit reductionists or nonreductionists to any particular theory either about the ontological status of the body and mental states or about the nature of the continuum of the body and mental states. But such differences can be used to distinguish different versions of the physicalist, mentalist, and dualist forms of the reductionist theory of persons. The more important of the Indian philosophers agree that the

continuum is causal in nature, but not all of these agree about the nature of the causal continuum. Among the Buddhists, the Vaibhāṣikas, Sautrāntikas, and Yogacārins assert that the causal continuum is made up of phenomena which exist independently with natures of their own. The Svātantrika-Mādhyamikans deny that its constituents exist independently, but assert that they possess natures of their own by reason of appearing to the consciousnesses in dependence upon which they exist. Let us call these, respectively, the realist and modified realist versions of reductionism.[14] The distinction between realist and modified realist versions of reductionism, however, is rejected by Candra. He claims that the idea of a phenomenon which possesses a nature of its own by reason of appearing to the consciousness in dependence upon which it exists is incoherent, since if a phenomenon possesses a nature of its own, its nature cannot be possessed by reason of appearing to a consciousness. Consequently, Candra intends his criticisms of realist versions of reductionist to apply also to modified realist versions.[15]

It follows that a theory about our **existence** can take a variety of forms. In particular, it can take the form of Vasubandhu's theory, that we are collections of the five aggregates (*skandha*-s) into which he believes our bodies and mental states are analyzable. Because the first of the five aggregates, according to Vasubandhu, is physical in nature, while the remainder are mental, he holds a dualist form of the reductionist theory. Moreover, since he believes that the aggregates are substantially real (*dravyasat*) his theory is realist in character. Vasubandhu's version of the reductionist theory about the unity of persons is that we are one not because we possess a single nature on the basis of which we are named and conceptualized, but because our unity consists in the fact that our aggregates co-dependently arise at the same time. We are one, he believes, in name and concept only.[16]

Parfit's characterization of reductionist and nonreductionist views of **personal identity** can also be applied to views held by Vasubandhu and his nonreductionist opponents. Vasubandhu does not specifically speak of personal identity in his verbal confrontations with the Vātsīputrīyas and the Tīrthikas and his views will not be familiar to most Western philosophers, but Parfit's characterizations do apply to views held by them. For Vasubandhu claims that we are not, as the Tīrthikas' believe, permanent (*nitya*) in the sense that we exist over time without change, or impermanent (*anitya*) in the strict sense that we exist only for a moment, but rather exist over time as a causal continuum of impermanent phenomena which retain the characteristics by virtue of which we are named and conceptualized.[11] The notions of a permanent phenomenon and of a causal continuum of impermanent phenomena surely are, at least in part, competing metaphysical explanations of our ascriptions of identity over time to ourselves. In fact, the claims of Vasubandhu and the Tīrthikas may be construed, respectively, as metaphysical renditions of what many Western philosophers have called loose or imperfect identity over time and strict or perfect identity over time, and of what Parfit takes, in relation to persons, to be identity over time as a fact reducible to a set of impersonal facts and identity over time as an irreducible fact about a separately existing entity.

The minimalist nonreductionists hold the view that our identity over time cannot be explicated in either of these two ways. But to the extent that they deny that our identity over time can be reduced to that of a continuum of impermanent phenomena, their theory may be counted as nonreductionist in character. Thus, since Vasubandhu claims that we are the five aggregates as a collection *in a causal continuum*, his view may be counted as a version of the reductionist view of personal identity. Both the separate self view, that we are permanent phenomena, as well as the minimalist view, that our

identity over time cannot be explicated in either of these ways, may also be counted as nonreductionist views.

VASUBANDHU'S STATEMENT OF HIS THEORY OF PERSONS

Seeing Oneself as a Self and the Cause of Suffering

Vasubandhu begins the 'Refutation' by claiming that the practice of the theory of liberation he has just finished systematically presenting in verse and refining in his commentary is the only means by which we can gain freedom from suffering, since the practice of the rival theory of the Tīrthikas commits their practitioners to seeing themselves as selves (*ātmadṛṣṭi*), which is the root cause of the mental afflictions, which by contaminating actions produce all suffering.

There is no (way to achieve) liberation (from suffering) other than (through the practice of) this (teaching of the Buddha), since (in the teachings of the Tīrthikas the error of) seeing (oneself as) a self is to be found.[18] (Those who practice their teachings will not be liberated from suffering,) for they do not understand that the name and concept of a self[19] is applicable only to (a collection of) aggregates in a (causal) continuum. They believe, (instead,) that a self is a substance that is separate (in existence from any and all of the aggregates). (But) the mental afflictions, (which cause all suffering,) arise from clinging to (oneself as) a self.

Vasubandhu does not think that we see ourselves as selves because we adopt the Tīrthikas' separate self theory of persons. In this opening passage of the 'Refutation' he is claiming that the practice of the Tīrthika theories of liberation will *reinforce* our inborn disposition to see ourselves from a nonreductionist perspective. From his point of view, their theories of persons are attempts to provide a metaphysical foundation for the nonreductionist

components of our actual concept of ourselves, while excising its reductionist components. The principal Tīrthika theories of liberation to which Vasubandhu objects in the 'Refutation' are those of the Sāṃkhyas and the Vaiśeṣikas, who claim (i) that we are *substances* in the sense that we exist independently with single natures of our own, and so exist independently of the ever-changing multiform bodies and mental states we are said to possess, and (ii) that we are, by virtue of the natures we possess, *partless* in the sense that we are indivisibly one at any given moment and *permanent* in the sense that we exist over time without change. The Tīrthikas claim that we bring about our suffering by falsely identifying or associating ourselves with our bodies and/or mental states, but can free ourselves from suffering by learning to identify ourselves with the substances we really are. A person of this sort they call a self (*ātman*) and argue that it can be known to exist by sound inference. Their theories of persons as selves differ in other respects, in the Vaiśeṣika theory, for instance, agency being assigned to a self, and in the Sāṃkhya theory, agency being denied. But the theories of both, like that of Vasubandhu, are revisionist to the extent that they are meant to correct our actual concept of ourselves, which is believed to incorporate errors concerning our true nature the acceptance of which causes suffering.

Although the other Indian Buddhist philosophers about whom we have information claim that we suffer because we see ourselves as selves, not all agree about what it is to see ourselves as selves, and consequently, about what the ultimate cause of suffering is. The standard Buddhist characterization of seeing ourselves as selves, that we cling to the existence of an 'I' (*aham*) and a 'mine' (*mama, ātmīya*), makes it clear that the error is that we are attached to the existence of that about which we are talking and thinking when we talk or think about ourselves from the first person singular

perspective. Vasubandhu's own view is that our attachment is to an irreducible existence which we appear to have when we make reference to ourselves from the first person singular perspective. In dependence upon the appearance of ourselves as possessed of an existence not reducible to the existence of our aggregates, Vasubandhu believes, we also appear to ourselves both to be irreducibly one at any given moment and to be irreducibly the same over time. This further appearance encompasses the remainder of the nonreductionist component of our actual concept of ourselves as persons. However, this appearance is not the one whose acceptance Vasubandhu calls seeing oneself as a self and its acceptance is not the root cause of suffering. But since this second appearance is a consequence of the first, Vasubandhu often in the 'Refutation' attempts, within the context of replying to nonreductionist objections to his theory, to explain it away within his own reductionist framework.

Vasubandhu's theory of why we suffer is criticized by Candra, who claims (i) that we do not really exist, since our existence cannot be separate from, or reducible to, that of the phenomena in reliance upon which we are named and conceptualized, and (ii) that we suffer because we see ourselves as selves in the sense that we see ourselves as phenomena that really exist.[20] He denies that we suffer because we cling to an existence for ourselves which is not reducible to the existence of our aggregates as a collection, since in his view our existence is not in fact so reducible. He argues that because we exist *in dependence upon* the existence of our aggregates, our existence cannot be reduced to that of our aggregates.[21] Vasubandhu and the other Buddhists who embrace a realist or modified realist form of reductionism fail to explain why we suffer, Candra concludes, because, even though they claim that we are real in name and concept only, they commit themselves to our real

existence when they reduce our existence to that of the phenomena on the basis of which we are named and conceptualized and claim that these phenomena really exist.[22] Candra maintains that the adoption and meditative practice of Buddhist versions of the reductionist theory of persons cannot be the means by which we eliminate our suffering, since what it is about our actual concept of ourselves attachment to which causes us to suffer is not properly identified.[23]

Vasubandhu's Basic Argument For This Theory

Vasubandhu's claim that those who would achieve liberation from suffering should accept his theory is immediately followed by another claim, which if translated literally, may be rendered:

The expression, 'self' (*ātman*), is known to be applicable to the aggregates in a continuum and to nothing else because there is no direct perception or sound inference.

Although he says in this statement that the expression, "self," is known to be applicable to the aggregates in a continuum and to nothing else, Vasubandhu normally denies that a self exists. The context of the passage, moreover, suggests that Vasubandhu uses "self" in the statement only because he wishes to say that the Tīrthikas' own word for a person, "self," if used as a name for a person that really exists, must be the name of the aggregates as a continuum. Accordingly, I shall hereafter follow Vasubandhu's more customary practice of using the term, "self," to express a nonreductionist conception of persons and restate his own reductionist thesis about persons by saying that persons are selfless. The first part of Vasubandhu's statement, therefore, may be recast as the statement that the term, "person," is known to be applicable to the aggregates and not to a self.

Since the continuum of the aggregates about which Vasubandhu speaks he believes to be a *causal* continuum, and strictly speaking, he means to be speaking here of the aggregates *as a collection*, the first part of his statement quoted above may be expressed as the view that the term, "person," is known to be applicable to a collection of aggregates in a causal continuum and not to a self. Finally, this part of Vasubandhu's statement may also be freed of its exclusive linguistic trappings if we make use of the locution, "name and concept" (*prajñapti*),[24] which Vasubandhu usually employs in statements of his theory, in place of the locution, "the term, 'person.'" In this way we can more readily see that included within the scope of his statement is our use of the first person singular personal pronoun to refer to ourselves. He is saying, then, that the name and concept of a person are known to be applicable to the aggregates as a collection in a causal continuum and not to a self.

The reason they are applicable to the aggregates as a collection in a causal continuum, according to Vasubandhu, is that the aggregates as a collection in a causal continuum are the phenomena in reliance upon which a person is named and conceptualized. Consequently, he is assuming that the name and concept of a person must be applicable to the phenomena in reliance upon which the person is named and conceptualized. In other words, he assumes that our existence is reducible to that of the phenomena in reliance upon which we are named and conceptualized.

The Vaibhāṣikas, Sautrāntikas, Yogacāra logicians, and Svātantrika-Mādhyamikas agree that one or more of the five aggregates as a collection in a causal continuum is or are the phenomena in reliance upon which we are named and conceptualized.[25] Among these, the Vaibhāṣikas and Vasubandhu's Sautrāntika followers agree that the phenomena on the basis of which we are named and conceptualized are all five aggregates; the others claim that the bases are causally

connected subtle consciousnesses which fall within the aggregate of consciousness. The scripture-based Yogacārins claim that they are consciousnesses which fall outside that aggregate and are collectively called the foundation consciousness (*ālayavijñāna*). All but the Prāsaṇgika-Mādhyamikas claim that we must exist among the phenomena in reliance upon which we are named and conceptualized or we do not exist at all, not even in name and concept only. Candra, however, denies that we are in fact named and conceptualized, since analysis shows that we do not exist independently with natures of our own on the basis of which we can be named and conceptualized.

We must now deal with the question of how exactly we are to understand what Vasubandhu means by claiming that the absence of direct perception and sound inference establish that the name and concept of a person are applicable to a collection of aggregates in a causal continuum and not to a self. A first step in answering this question is to notice that in claiming that direct perception and sound inference *cannot* be used to show that the name and concept of a person are applicable to a self, Vasubandhu surely means to be implying that direct perception and sound inference *can* be used to prove that they are applicable to the aggregates in a causal continuum. To explain how in these ways Vasubandhu thinks that the presence and the absence of these sources of knowledge are relevant to the determination of that to which the name and concept of a person are applicable, we need to make two assumptions: first of all, that there are phenomena in reliance upon which persons are named and conceptualized, and secondly, that if persons really exist, they exist among these phenomena. The roles played by the presence and absence of direct perception and/or sound inference will then be to establish, respectively, that these phenomena are a

collection of aggregates in a causal continuum, and that there is no self among them.

Consequently, Vasubandhu's statement involves the use of a two-part argument, one directed against nonreductionist theories of persons, and the other advanced in support of his own reductionist theory. The combined argument to which Vasubandhu alludes I shall call *Vasubandhu's basic argument*. Of the two arguments which comprise the basic argument, the first is to the effect that the name and concept of a person are known not to be applicable to a self because a self is not known by direct perception or sound inference to exist among the phenomena on the basis of which a person is named and conceptualized. I shall call this his *selfless persons argument* (hereafter, SPA). The purpose of the argument is to bring us to the realization that, even though we appear to be selves, we are not in fact selves, since a self is not known to exist among the phenomena in reliance upon which we refer to ourselves from the first person singular perspective. The second of the two arguments is that the name and concept of a person are known to be applicable to a collection of aggregates in a causal continuum because the phenomena on the basis of which the person is named and conceptualized are known by direct perception or sound inference to be a collection of aggregates as a causal continuum. I shall call this his *continuum persons argument* (hereafter, CPA). The purpose of this argument is to enable us to see that, since it is known that there is a continuum of aggregates in reliance upon which we refer to ourselves from the first person singular perspective, there really is something to which we refer when we refer to ourselves, even if it is not a self.

(i) *The Selfless Persons Argument*

The SPA is clear enough from our familiarity with Hume's famous argument in the *Treatise of Human Nature* against the existence of an irreducible self.[26] In saying that the idea of a self cannot be traced to a simple impression, Hume was in effect saying that he could find no directly perceived phenomenon on the basis of which he names and conceptualizes himself as a self. Hume, like Vasubandhu, also thought that the absence of a sound inference for the existence of a self plays a part in his denial of its existence. For he argued that there is no proof that a self is needed to explain the occurrence of the perceptions on the basis of which persons are named and conceptualized.[27]

In the SPA it is assumed that what is not known to exist by means of direct perception or sound inference is known not to exist. But, strictly speaking, the fact that a self is not directly perceived and that there is no sound inference to its existence warrants only the conclusion that a self is not known to exist, not that it is known not to exist. In the 'Refutation' Vasubandhu immediately follows his basic argument for his theory with an attempt to defend this assumption. In support of the claim that what is not known to exist is known not to exist, he argues that the twelve bases of perception (*āyatana-s*), which comprise all real phenomena, are known to exist by direct perception or sound inference. However, in making the assumption that the twelve bases of perception are an exhaustive classification of all real phenomena, he neglects to tell us how this is known to be true. His view, it seems, is that it is known to be true because the Buddha, an omniscient person, has said that the twelve bases of perception are an exhaustive classification of all truly existent phenomena. Hence, the problem of justifying the assumption that whatever is not known to exist is known not to exist is simply shifted to the equally difficult problem of justifying the claim that the Buddha is an omniscient person. In the absence of a demonstration

that what is not known to exist is known not to exist, it would seem that we need not accept the SPA as it stands.[28]

All of the Indian Buddhist philosophers, except perhaps for Candra and his Prāsaṇgika followers, use the SPA to prove that there is no self. The proof is used to begin the process of destroying our seeing of ourselves as selves by transforming, through the practice of concentration, our inferential realization that we are selfless into a direct yogic perception of our selflessness. It is used by them, however, only to the extent that "self" is defined in accord with their own theories of persons. Vasubandhu and most others use "self" in the SPA to refer to the nonreductionist component of our actual concept of ourselves. But the Vātsīputrīyas use it to refer to a separately existing self.

Candra, to my knowledge, does not use the argument. His own basic argument, as I said above, is that we are selfless in the sense that we do not really exist, since our existence is neither separate from, nor reducible to, that of the phenomena in dependence upon which we are named and conceptualized.

(ii) *The Continuum Persons Argument*

The key to understanding the CPA is to see in some detail exactly how Vasubandhu uses inference to reduce our existence to the existence of our aggregates. In the 'Refutation' an inference of an analogous sort occurs[29] where he argues that the existence of milk is reducible to the existence of the collection of all of its elements. The inference, once fully reconstructed, is that since it is true (i) that milk really exists, (ii) that by direct perception we know that the constituents of milk really exist, (iii) that milk cannot exist apart from its constituents, (iv) that milk cannot exist as some of its constituents to the exclusion of the others, and (v) that milk cannot exist as all of

its constituents individually considered, it follows (vi) that milk must exist as all of its constituents as a collection.

This inference can be extended to accommodate the view that milk really exists as all of its constituents collectively in a causal continuum. For the efficacy of the convention that milk is the same over time can only be explained, he believes, by the supposition that its constituents as a collection enter into a causal continuum of the sort which enables the convention to be useful for the practical purposes of life. If its constituents as a collection did not enter into such a continuum, it would not even be the same over time in name and concept only.

For like reasons, Vasubandhu also believes that a person is known to be all of its constituents collectively in a causal continuum. We need not fully reconstruct this part of the argument in order to see that Vasubandhu attempts to provide the convention that we are the same over time with a metaphysical foundation. But he does not, as Hume does, also attempt a detailed account of how it comes about that we adopt this convention. He simply assumes that our appearance to ourselves of being irreducibly the same over time is an immediate consequence of our more fundamental appearance to ourselves of being irreducibly existent and one.

It would seem that among the Indian Buddhists only Vasubandhu and his followers accept the CPA as it stands. The Vātsīputrīyas would explicitly deny that if we really exist, we must exist among the phenomena on the basis of which we are named and conceptualized. Although Candra would not deny this, he denies that we really exist.

AVOIDANCE OF THE TWO EXTREMES AND THE MODE OF EXISTENCE OF PERSONS

Together the SPA and CPA arguments are used by Vasubandhu in order to safeguard what the Indian Buddhist philosophers call the middle way between the extremes of eternalism and nihilism. Extreme views concerning our existence are distinguished from extreme views concerning our identity over time. According to Vasubandhu, eternalism with respect to our existence is the view that we are substantially real and nihilism is the view that we are not real at all. The Tīrthikas clearly fall to the eternalist extreme concerning our existence and the Vātsīputrīyas fall to it, Vasubandhu believes, in a subtler form, since they deny that we are real in name and concept only. In the 'Refutation' he also says, in a single sentence, that the Mādhyamikas fall to the nihilist extreme because they deny the real existence of all phenomena.[30] With respect to personal identity, he believes, eternalism is the view that we are permanent in the sense of existing over time without change, and nihilism is the view that we are impermanent in the sense of existing only for a moment. The Tīrthikas clearly fall to the eternalist extreme concerning personal identity, and the Vātsīputrīyas, he thinks, are committed to it by their denial that we are the same over time in name and concept only. No one, apparently, holds a nihilist view of personal identity of the sort Vasubandhu rejects.

Vasubandhu tries to avoid *eternalist* views of our existence and identity over time by the use of the SPA. We cannot be substantially real because we are not selves; and since we are not substantially real, and only if we were substantially real could we be permanent, we are not permanent either. He tries to avoid *nihilist* views of both our existence and identity over time by the use of the CPA. Although we are not substantially real, we do possess a nominal and conceptual reality in dependence upon our existence being reducible to the existence of the collection of aggregates; and although we are not the same over time in the way a permanent substance is, we are

not impermanent either, since we possess a nominal and conceptual identity over time in dependence upon the causal connectedness and continuity of the collection of our aggregates.

It was to avoid the extremes of eternalism and nihilism that the Buddha himself distinguished modes of existence a phenomenon known to exist may possess and classified all things known to exist by reference to whether they possessed one or the other of them. A phenomenon classified from the point of view of its mode of existence he called a reality (*satya*) and said that it is real (*sat*), rather than not existing at all or being unreal (*asat*). Accordingly, when the Buddha introduced a distinction between conventional deceptive realities and realities which he called ultimate,[31] he was distinguishing two modes of existence possessed by phenomena known to exist. Although the Buddha distinguished these kinds of realities he did not unambiguously explain what they are and how they are related to one another. Consequently, one of the central concerns of Indian Buddhist philosophers is to provide an unambiguous explanation. Their disagreements about this constitute one of the central themes of the history of Indian Buddhist philosophy.

In the *Treasury of Knowledge* Vasubandhu presents, and in his commentary on it apparently accepts, the Vaibhāṣika accounts of these two realities. The accounts are operational definitions in which we are given the means by which to determine whether a phenomenon is a deceptive conventional reality or an ultimate reality. A deceptive conventional reality is defined as a phenomenon whose nature can no longer be discriminated when it has been taken apart physically or mentally analyzed into constituent parts of different sorts. An ultimate reality is defined as a phenomenon whose nature can still be discriminated when it has been taken apart physically or mentally analyzed into constituent parts of different

sorts. Consequently, a deceptive conventional reality is deceptive insofar as it appears to have a nature it does not really possess, but instead is really a mere collection of the different sorts of constituents into which it can be analyzed, and it is conventional insofar as it is by convention named and conceptualized on the basis of the presence of its constituents. An ultimate reality is a phenomenon which does really possess the nature it appears to possess and is named and conceptualized on the basis of its possession of that nature by itself. These two realities are to be contrasted to unreal phenomena, which appear to possess natures of their own, but, since they cannot be found to exist among the phenomena on the basis of which they are named and conceptualized, do not exist at all.

In accord with these definitions Vasubandhu can say that a person is a deceptive conventional reality, that the most elemental phenomena of which the person is composed are ultimate realities, and that a self is not a reality at all. When persons, as they appear to a consciousness, are subjected to Vasubandhu's test of reality-kind, they are found to be deceptive conventional realities because their natures can no longer be discriminated when they are analyzed into the phenomena on the basis of which they are named and conceptualized: none of the phenomena into which they can be analyzed is found to possess the nature of a person. Therefore, though persons exist as phenomena which appear to possess single natures by virtue of which they can be named and conceptualized, they do not possess such natures, and are in fact real in name or concept only. Because we assume, in accord with the false appearance of ourselves, that we are single-natured phenomena whose existence is not reducible to that of our aggregates as a collection, we act on this assumption and thereby cause ourselves to suffer. Since the persons who falsely appear to be single natured and

who make this assumption exist as deceptive conventional realities, the nihilist extreme is avoided.

Candra believes, however, that if persons, as deceptive conventional realities, are in fact the aggregates as a collection in a causal continuum, what we need to say about ourselves for the practical purposes of life we must also be able to say about the aggregates as a collection in a causal continuum, since in this account every reference to ourselves must be a reference to them. However, we cannot say about the aggregates as a collection in a causal continuum what we say about ourselves, since they lack the unity we must possess if we are to possess bodies and mental states and to be subjects of different mental states at the same time, and they lack the identity over time we must possess if we are to be agents of actions which receive the results of those actions in accord with the law of actions and their results.[32] Candra rejects the attempt to ground our ascriptions of identity over time to ourselves in an account of a causal relation between the really existent aggregates in reliance upon which we are named and conceptualized. He argues, following Nāgārjuna,[33] that a causal relation cannot obtain between phenomena which really exist.[34] In any case, he adds, a collection of independently existent aggregates, since without real unity, cannot be an agent of action or subject of experiences, and hence, if our existence is reducible to that of a collection of aggregates, we must reject the conventions that we are agents of actions and subjects of experience.[35] In other words, the reductionist theory preserves our real existence at the expense of calling into question our most essential conventional beliefs about what we are.

Candra places great weight upon the preservation of conventional beliefs about what we are because the Buddha said that he does not dispute the truth of the conventions of the world.[36] In particular, Candra believes, the Buddha never intended that we *revise* our actual

concept of ourselves, but that we *retain* it so that we can use it in an effort to realize our mode of the existence. The concept must also be retained by Buddhists, he believes, because it is needed in order to formulate the problem of suffering in terms of our acceptance of the false appearance of ourselves as really existent. The more general point, of course, is that it must be retained because, in spite of the fact that it cannot be used to refer to anything, all of its components, including its nonreductionist components, are needed if it is to be a useful tool for the conduct of human affairs. By rejecting our actual concept of ourselves, Candra also believes, Buddhist proponents of realist and modified realist forms of reductionism fall prey to the nihilist view that we do not exist at all as we actually conceive ourselves. And by revising the concept, he believes, they fall prey to the eternalist view that we really exist, since even though they deny that we really exist as what we actually conceive ourselves to be, they assert that there is in fact something real to which we refer when we attempt to name and conceptualize ourselves.

What we need to realize about ourselves in order to become free from suffering, according to Candra, is our ultimate reality, which is our emptiness (*śūnyatā*) or absence of real existence. We are deceptive conventional realities in the sense that when we name and conceptualize ourselves, we falsely appear, to our ordinary consciousness, to exist independently with natures of our own by virtue of which we are named and conceptualized, when in fact we exist in dependence upon the functionally necessary convention of being named and conceptualized in reliance upon the presence of the aggregates as a collection in a causal continuum.

The downfall of all revisionist theories of persons, according to Candra, is that the elimination of either the reductionist or the nonreductionist components of our actual concept of ourselves has absurd consequences by reason of undermining our conventional

idea of what we are. The separate self version of the nonreductionist theory, as Buddhists of all stripes insist, undermines the convention because it makes impossible, between the self and the causal continuum of one's body and mental states, a causal link on the basis of which we can be said to suffer and to be capable of freeing ourselves from suffering. The well-known Western analogue to this criticism is the objection to Descartes' separate self theory that it cannot explain how the mind can interact with the body. And the reductionist theory, as its nonreductionist opponents are fond of pointing out, undermines our conventional idea of what we are because it makes impossible, between ourselves at different times of our existence, a relation on the basis of which it becomes rational for us to seek the elimination of our suffering in the future, or, between different experiences we may have at one time, a relation which explains why they are all experiences belonging to one subject. In the West, Locke, Butler, Reid, Kant, and more recently, Chisholm, all argue this point in different ways and contexts.

It is in fact not just from an Indian philosophical perspective that the reductionist theory and the separate self form of the nonreductionist theory have been seen to be problematic because of their revisionist character. Part of the genius of Wittgenstein is to have realized just this point. He agreed with Candra that philosophical analysis of our actual concept of ourselves cannot yield a useful *revision* of the concept which can somehow free us from its bewildering implications. What Wittgenstein failed to understand, from Candra's point of view, is that what drives the philosopher's obsessive attempt to revise this concept, which encapsulates what Wittgenstein would call one of our most basic forms of life, is an underlying fear that we do not really exist! Nor does he seem to have conceived, any more than have most others in the Western tradition,

the real possibility that our attachment to ourselves as we actually conceive ourselves brings about our suffering.

NOTES

[1] See Derek Parfit, *Reasons and Persons* (Oxford: Clarendon Press, 1984), p. 273 and Appendix J; Th. Stcherbatsky, *The Soul Theory of the Buddhists* (Delhi: Bharatiya Vidya Prakashan, 1976).

[2] The translation, to which I shall refer as the 'Refutation,' is by James Duerlinger, *Journal of Indian Philosophy* **17**: 137–187, 1989. Details about the text can be found in Duerlinger's introduction which precedes the translation in the same volume and is published under the title, 'Vasubandhu's "Refutation of the Theory of Selfhood,"' pp. 129–135.

[3] See Duerlinger's introduction, mentioned in previous note. A detailed comparison of Vasubandhu's version of the reductionist theory to the versions of Hume and Parfit will be undertaken elsewhere. Claus Oetke, in *'Ich' und das Ich* (Stuttgart: Franz Steiner Verlag Weisbaden GmbH, 1988), includes a paraphrase of Vasubandhu's chapter, along with an attempt to analyze it from a contemporary philosophical perspective. His treatment, however, is based on an understanding of theories of persons drawn from the work of Peter Strawson rather than from the work of Parfit, and it does not include, as mine does, an attempt to deal with Vasubandhu's theory as part of the Indian philosophical commentarial tradition.

[4] For our purposes we may adopt the traditional classifications of the Indian Buddhist philosophical schools as set out in *Tibetan grub mtha'* (*siddhānta*) texts. The mastery of this literature is a good first step in our attempts to relate Indian Buddhist philosophy to our own philosophical tradition.

[5] See Edward Conze, *Buddhist Thought in India*, 3rd ed. (Ann Arbor: University of Michigan Press, 1967), pp. 122–130.

[6] *Madhyamakāvatārabhāṣya*, Ch. 6, vv. 120–176, with commentary, as translated into Tibetan (*dbU ma la 'jug pa bsad pa*; P5263).

[7] I shall reserve for another occasion an account of Vasubandhu's intricate confrontation in the 'Refutation' with the nonreductionist theories of the Vātsīputrīyas, Sāṃkhyas, and Vaiśesikas.

[8] The apparent object of our actual concept of ourselves from the first person singular perspective is what, in most of Indian schools of thought, is called the *jīva*. Elsewhere I shall argue that it is skepticism concerning the real existence of a *jīva* that leads Indian philosophers to propound theories concerning the true nature of the self and its mode of existence.

9 Revisionist theories may be straightforwardly revisionist or covertly revisionist. The latter incorporate a variety of arguments to the effect that such and such components of our actual concept of persons are not really components of that concept, but only seem to be so. To the extent that Western theories of persons can be assimilated to this Indian philosophical framework, in which the basic problem of self is set by skepticism concerning our real existence as actually conceived, most Western theories of persons would be classifiable as covertly revisionist. For Western philosophers tend simply to distinguish different meanings, senses, or uses of our first person singular concept of ourselves and ignore the fact that in our unphilosophical mode of consciousness we employ it to refer to ourselves in reliance upon our appearance to ourselves of existing independently with natures of our own.

10 I shall argue elsewhere that Aristotle and Strawson would seem to hold realist versions of the nonrevisionist view of persons when judged from this perspective, and that Wittgenstein is best interpreted as holding a conventionalist version of the nonrevisionist view.

11 *Reasons and Persons*, pp. 210–213.

12 *Madhyamakāvatārabhāṣya*, Ch. 6, vv. 146–148, with commentary.

13 *Reasons and Persons*, p. 241.

14 There are other classifications which can be formed, but need not be for our purposes. Harold Noonan, in *Personal Identity* (London: Routledge. 1989), Ch. 5, in effect distinguishes, on the basis of the explicability of the relation which binds 'person-stages' into a continuum, versions of what I am calling reductionism and nonreductionism. His terminology differs from mine, in part, because his focus is entirely upon theories of personal identity. I shall consider below only the Buddhist statements of what I am calling the realist and modified realist versions of reductionism.

15 What I have called here a modified realist version of reductionism might also be called a quasi-conventionalist version of reductionism, since the Svātantrikas claim, as Candra does, that all phenomena exist only by convention, except that in their case the conventional existence of a phenomenon does not exclude its possession of a nature of its own. The fullest account of the Svātantrika viewpoint in Western literature is to be found in Donald Lopez, Jr. *A Study of Svātantrika* (Ithaca: Snow Lion Publications, 1987).

16 See 'Refutation,' p. 155.

17 In the *Abhidharmakośa* Vasubandhu claims that all phenomena are either permanent or impermanent. But here "impermanent" is used both in the strict sense of existing only for a moment and in the loose sense of existing over time as a continuum of phenomena which are impermanent in the strict sense and are caused to retain the characteristics on the basis of which they are initially named and con ceptualized. Consequently, he believes that no phenomena change in the sense in which change requires the existence of an unchanging

substratum which undergoes a change of properties. It is only in the loose sense of "impermanence" that persons are included among impermanent phenomena. In my account of Vasubandhu's theory I am using the terms, "impermanence" and "impermanent," in their strict senses, and when I speak of a causal continuum of a collection of phenomena on the basis of which a person is named and conceptualized I always mean a continuum in which phenomena produce others which preserve characteristics of the phenomena on the basis of which they are initially named and conceptualized.

[18] Parentheses are used here and elsewhere in the translation to mark off additions made by the translator to facilitate comprehension of the text.

[19] The term, "self" (*ātman*), is used here and in its next occurrence to refer to whatever is in fact a person. Later in the text Vasubandhu consistently uses the term in reference to persons conceived to possess an existence not reducible to the existence of the aggregates which comprise one's body and mental states. An extension of the normal use is that which occurs in "selfless" when used in the claim that the aggregates are selfless, for in this case the meaning is that none of the aggregates individually is either a self in the above sense or something possessed by a self in that sense. The term has its normal use here in the locutions, "seeing (oneself as) a self" and "clinging to (oneself as) a self."

[20] This is the basic logical framework of *Madhyamakāvatārabhāṣya*, Ch. 6, w. 124–145, with commentary.

[21] *Madhyamakāvatārabhāṣya*, Ch. 6, v. 135cd, with commentary.

[22] *Ibid.*, Ch. 6, v. 127cd, with commentary. The Svātantrikas are thought to be committed to the idea that the aggregates really exist because they claim that they exist with a nature of their own.

[23] *Ibid.*, Ch. 6, v. 131, with commentary.

[24] The verbal form of this, *prajñapyate*, I render as "is named and conceptualized," instead of the more usual "is designated" and "is imputed." Claus Oetke, in *'Ich' und das Ich*, p. 196, fn. 96, renders the "... *prajñapyate*" construction as "*Es ensteht die ... Konzeption*," and in so doing misses its ambivalence to the domains of discourse and conceptualization. A more accurate rendering, I believe, would be "... is apparently named and conceptualized," (and so also it would be more accurate to render *prajñapti* as "apparent name or concept,") but since this seems overly to complicate the translation, I have decided to use the simpler translation and caution the reader about inferring from it that there is in fact something named and conceptualized.

[25] For this general information and other general points concerning Indian Buddhist theories of persons, see, for instance, Geshe Sopa and Jeffrey Hopkins, *Practice and Theory of Tibetan Buddhism* (New York: Grove Press, Inc., 1976), Part II.

[26] David Hume, *Treatise of Human Nature* (Oxford: Clarendon Press, 1960), Bk. I, Part IV, Section IV.

[27] *Ibid.*, p. 252.

[28] I shall argue elsewhere that comparable problems plague the corresponding arguments of Hume and Parfit.

[29] See the 'Refutation,' p. 144.

[30] *Ibid.*, p. 163. He does not develop this criticism further, perhaps, because he thinks it sufficient to dismiss the Mādhyamika view on the ground that it contradicts the Buddha's denial of nihilism. He does not attempt to answer any of Nāgārjuna's criticisms of the view that phenomena really exist.

[31] My translations of "*saṃvṛtisatya*" as "a conventional deceptive reality" and "*paramārthasatya*" as "an ultimate reality," rather than as the more usual "conventional truth" and "ultimate truth," respectively, is an attempt to convey in modern terms the etymologies the Indian Buddhist philosophers offer for the expressions. The sense I glean from the etymologies is that a reality is a phenomenon which possesses the mode of existence it appears to possess, a deceptive conventional reality is deceptive in that it does not possess the mode of existence it appears to possess, but by convention possesses the mode of existence it appears to possess, and an ultimate reality is a phenomenon which in fact possesses the mode of reality it appears to possess. A deceptive conventional reality, so understood, is no more a reality than a dead man is a man. Nonetheless, because its lack of reality is not recognized except by those who have developed the wisdom and concentration to perceive it directly, it is by convention called a reality, and this convention is followed by the Buddha.

[32] *Madhyamakāvatārabhāsya*, Ch. 6, vv. 127–128, with commentary.

[33] *Mādhyamakakārikā*, Ch. 27, v. 16.

[34] *Madhyamakāvatārabhāsya*, Ch. 6, v. 129, with commentary.

[35] *Ibid.*, w. 134, 162, with commentary.

[36] *Ibid.*, v. 166, with commentary.

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SELF-CONSTRUCTION IN BUDDHISM

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I

In the section of the *Treatise of Human Nature* on 'Personal Identity' (Book I Part IV Section vi), Hume sketches a reductive theory of what it is to be a person. People 'are nothing but a bundle or collection of different perceptions, which succeed each other with an inconceivable rapidity.' Thus what is ordinarily thought to be a single unit is analysed into a multiplicity of smaller units.

The presentation of such a theory should contain three elements:

1. a specification of what actually exists, according to the theory;
2. an explanation of how the mistake in common understanding comes to be made, how a multiplicity comes to be thought of as a unity;
3. arguments showing that the theory is more likely to be true than its rivals.

1. What exist, according to Hume, are perceptions (the term used in a wide sense for any state of the conscious mind); these are constantly and rapidly changing, and succeeding each other. Those which are taken to constitute a single person are connected to each other by the relations of resemblance and causality. Memory provides a good example of resemblance. 'For what is the memory but a faculty, by which we raise up the images of past perceptions ... An image necessarily resembles its

object.' As for causation 'we may observe that the true idea of the human mind, is to consider it as a system of different perceptions or different existences, which are linked together by the relation of cause and effect, and naturally produce, destroy, influence and modify each other.' Hume does not mention it, but relations of resemblance and causality will also hold between perceptions ascribed to different people; but presumably the relations within one person's stream of perceptions are tighter.

2. How do we come to mistake what is really a multiplicity for a unity? The question concerns how we think about existence through time. Much of this Section of the *Treatise* is taken up with an account of our general propensity to confuse identity through time with diversity through time. When we observe a succession of closely related objects, we tend to think of the succession as if it were a single object 'remaining invariable and uninterrupted'. The explanation is in terms of a psychological contingency: the action of the imagination in the two types of case is 'almost the same to the feeling'. 'The relation [between the successive perceptions] facilitates the transition of the mind from one object to another, and renders its passage as smooth as if it contemplated one continued object.'

How does this general doctrine apply to the particular case of personal identity? In this case, as already mentioned, the perceptions are closely related by resemblance and causality. In reviewing their succession, the mind passes smoothly along the sequence, fails to distinguish its own operation from the observation of a single uninterrupted object, and so invents such an object – the soul or self – to justify its mistaken belief in identity.

A comparison between paragraphs 1. and 2. above reveals an unexplained lack of fit. Paragraph 1. speaks of a sequence of extensionally related perceptions. Paragraph 2. has not only that sequence, but a mind passing, with deceptive smoothness, along the sequence; and a mind being deceived by this smoothness, coming to believe in an uninterrupted identity, and hypostatising an unobserved self. The question must arise, whether the primitive apparatus allowed by the theory can perform the sophisticated tasks required of it. How does the self concept get itself constructed?

3. Hume's argument for his theory – apart from his attempts to show that it is internally coherent, and that it explains what it sets out to explain – consists of the simple empiricist claim that there cannot be an identical uninterrupted self, to which all the perceptions belong, because no such self can be observed. All that can be observed is ceaselessly changing.

Several writers have remarked on the similarity between Hume's theory of personal identity and the Buddhist doctrine of 'no-self', with its explanation of the mistaken concept of self or person in terms of short-lived physical and psychological elements. Derek Parfit, in *Reasons and Persons*,[1] presents his own basically Humean theory of persons, and claims 'Buddha would have agreed'. I think that in the main Parfit is right about this; but Parfit's theory has the same lacuna as Hume's. I shall later describe Buddhist suggestions about how this may be filled.

Parfit's theory is more thorough-going than Hume's, in that the consequences of the breakdown of the concept of person are taken more seriously, and worked out in more detail. The elements of his reductionist theory are once again states of mind or mental events, related by what he calls 'psychological connectedness'. This notion is

explained by means of examples; it holds between a seeming memory, and the experience of which it seems to be a memory; between an intention to do something and the doing of it; between having character traits, beliefs etc at one time and having the same or similar character traits or beliefs at another time. Parfit adds that these psychological relationships must, if the sequence is to come to be seen as a person, rest on some physical causal connexion; usually the existence of a continuing, though changing, physical body. These psychological and physical connexions are together called relation R. The relation of personal identity is the relation R plus the proviso that there is no more than one Person 2 who is R-related to Person 1, or Person 1 R-related to Person 2. But Parfit claims that we can easily imagine circumstances in which the proviso would not be satisfied; that is, people could fuse, or bifurcate in various ways; so we ought to concern ourselves with the basic relation R without the proviso.

Parfit argues for his theory in the Humean way: none of us is directly aware of himself as a 'persisting subject of experiences', a pure ego. But he also uses powerful new arguments, which consist of what may be called 'bizarre stories', about what might happen to people. They could be given different but similar bodies or brains, or different and dissimilar bodies or brains, or psychological characteristics with varying degrees of R-relatedness, or any combination of these, or they could in various ways fuse or bifurcate physically or mentally or both – and so on. The claim is that if, with reference to these stories, we ask 'Is it the same person?' we find that the concept of person breaks down under the strain; there are many cases in which the answer is not clear, or a decision either way seems arbitrary. That is, the concept of person suffers from what Parfit calls 'indeterminacy'. Parfit argues that indeterminacy entails a reductionist analysis. The stories are persuasive; and the indeterminacy which they demonstrate certainly shows that the

concept of person and personal identity are complex; but it does not compel acceptance of Parfit's type of reductivism. For Parfit, like Hume, fails to appreciate the deep implications of the obvious fact that we do look back on our experiences, and look forward to our intended actions, and see it all as a unity. Parfit says 'This unity does not need a deep explanation. It is simply a fact that several experiences can be *co-conscious*, or be the objects of a single state of awareness.'[2] He goes on to compare it to short term memory. But this extensionalist account is as inadequate for the self-concept as it is for memory. I shall argue, on well known Kantian lines, that a necessary part of basic psychological functions like memory and intentional action is the person's concept of himself; and this requires intensional relations, that is, relations which exist only insofar as they are understood to exist. In fact any theory of the person must involve an account of the person as an intensional agent; this is central because I agree with Kant and, as we shall see, with Buddhist accounts, not only that we as people must have self-concepts, but also that our self-conception has to be actively constructed. In fact we need to take into account what Kant would call active synthetic understanding.

It is perhaps worth recalling Kant's account of the conditions for memory. In fact he claims, more generally, that these conditions lie behind every case of conceptual understanding, for applying a concept always involves memory. Conceptualising always involves understanding that a multiplicity of intuitions are united by the fact that they follow a rule. Kant assumes that the initial awareness of the manifold must take some time; so at the time of understanding, data from various times must be 'run through and held together', an activity which involves memory. The past data must therefore be reproduced at the time of understanding – but reproduction (this is what Parfit calls 'co-consciousness') is not enough. The data must be

known to be reproduced; they must be recognised. Kant claims, and I agree with him, that recognition must take a propositional form; something like '*I* experienced that in the past'. So consciousness of oneself as enduring through time is required. How is this possible? As Hume and Parfit say, such a self cannot be directly experienced as a kind of changeless crystal to which changing experiences can be severally attached; so an empirical self-concept must be constructed, under which the self can be thought of as to some extent stable, but to some extent changing, like other objects in the objective world.

Memory, therefore, needs self reference, and so some kind of self-concept; and this self-concept needs to be constructed. Construction is of course a synthetic activity; and it must involve the understanding. Whatever the elements or units are, they must be put together in a way which makes some kind of sense. For Kant, all known unity is understood unity. What forms then can this construction of an empirical self take? It must obey the categorical rules which makes possible any re-identification; but there are very many ways in which this requirement can be satisfied, as Parfit's bizarre stories show. We may think it wise, in the self-concept we construct, to allow for bifurcation, fusion, tele-transportation[3] etc; but what we cannot do without is *some* concept of ourselves. This is required for memory; and also, it seems obvious, for the link between intention and action, which gives or attempts to give an understood unity to the future, as memory does to the past.

Parfit does recognise that person-concepts exist;[4] but thinks about them in a purely objective way, as part of the furniture of the universe. He fails to realise that if persons can be the objects of (perhaps mistaken) thought and belief, they must also exist as active subjects, as doers, constructors, synthesisers. For Parfit, the idea of the person as subject is empty. This is because he represents the subject of experiences as that which 'has' them; if this is the subject's

only role it is not difficult to argue, as he does with respect to the *cogito*, that 'someone has a thought' can be resolved into 'there is a thought'. But the subject as agent cannot be dismissed so readily; for things actually get done. In Kant's most abstract terms, manifolds get synthesised into unities, which thereby are understood as unities. This kind of agency cannot be reduced to causal relations between similar perceptions.

My argument so far has been negative. The Hume/Parfit theory of the person is inadequate because it does not allow for, or does not clearly allow for, the active construction of a self-concept. But if we can be sure that agents, synthesisers do exist, we still need to know what kind of existence they have. Do we have to reintroduce the Cartesian ego as subject? This seems ruled out by the arguments for indeterminacy. If we turn to Kant, the ontological status of what for him is the subject of synthesis, that is presumably the original unity of apperception, is far from clear. Could there be a theory more sophisticated than Parfit's, allowing that self-concepts are constructed, and so a person as constructor is needed, but also allowing that the construction may be variously done, so that there may be a variety of answers to 'Is this the same person as that?'? Is it possible to explain the relationship between person as constructor, and person as constructed?

II

As one possible answer to these questions I should like to present a rather free and speculative interpretation of the theory of the person put forward in the Pali Buddhist texts. Parfit claims that this theory is similar to his own, and there is certainly some justification for the claim; but the Buddhist account is, at least potentially, rather more sophisticated than he suggests.

We may start with the earliest of the Buddhist texts which Parfit himself quotes.[5] The verses are spoken by a Buddhist nun to Māra the tempter, who asks 'Where do *sattas* (literally 'beings': people, gods, demons etc) come from? How do they arise and pass away?'

> Why do you keep referring to 'beings', Māra?
>
> You have gone in for a false view of things.
>
> There is merely a pile of *saṃkharās* here;
>
> No 'being' is to be found here.
>
> Just as the bringing together of parts
>
> Gives rise to the word 'chariot',
>
> So with reference to the *khandhas* that are present
>
> Arises the conventional term 'being'.[6]

Obviously the view being put forward here is reductivist in a strong sense; the analysis of 'beings' into *saṃkhāras* or *khandhas* is taken to imply the ultimate non-existence of 'beings'. Speaking of them is using what is no more than misguided convention. This doctrine is usually known as *anattā*, no-self; each of us must apply it to himself.

I mentioned at the beginning of this paper three requirements we might make of a reductive theory of the person: 1. an account of what exists, according to the theory; 2. an explanation of how common understanding comes to be mistakenly non-reductive; and 3. arguments for the truth of the theory. We saw that Hume and Parfit failed to explain adequately the relationship between 1. and 2. A theory which hopes to do better will have to produce, for 1, an account of the elements of the reduction which is rich enough to fulfil the task set in 2. The previous paragraph gives a preliminary answer to 1.; in the rest of the paper I shall expand and explain this answer to show how it can cope with 2.

I shall not attempt to deal adequately with Buddhist answers to 3. They are a combination of soteriological, experiential and intellectual

considerations. At the abstract intellectual level, it is interesting to note the emphasis placed on seemingly empiricist arguments. The doctrine of *anattā* is closely linked to the claim that all that we can see to exist in the world, including any aspect of ourselves by which we may try to identify ourselves, is impermanent, short-lived. The *khandhas* are a five-fold classification of the elements of which 'beings' are made up: physical form, feelings, perceptions, motives and consciousness. The argument is repeatedly used, of these five, 'Physical form (and the other four) are impermanent; what is impermanent cannot constitute a self'. The possibility of the existence of anything else, outside the *khandhas*, which is permanent and therefore could be a genuine object of self-reference, is discounted by saying that any such thing is inexperienceable and inconceivable.

But to return to our main concern; a theory which analyses a long-lived person into short-lived constituents must contain an explanation of how the constituents are temporally related to each other – how the appearance of the abiding self comes about. There are hints of this in the potent word *saṃkhāra*.[7] The term is used in the verses as a general indication of the nature of the elements. Its components are the prefix *sam* meaning 'together', and *khāra* from the root *kṛ*, to do or to make; its uses are always related to synthetic activity. In this context it indicates that the elements are those things which are heaped together to constitute the person; but also that they are not themselves passive in this process; they are putters together as well as being put together. Certainly there is no external agent to bring about the synthesis.

How they are able to do this is not made clear in the earliest Buddhist texts. The theory of relations in these texts is called what may be translated 'conditioned co-origination' (*paticcasamuppāda*), that is, events arise conditionally on others; but the nature of the

conditionality, extensional or intensional, is not explicitly discussed. The standard texts describe how the sequence of origination (always associated with suffering; always, for the Buddhist, to be brought to an end) prolongs itself. Because of ignorance of the true nature of things, sensory experience, contact of consciousness with the outside world, gives rise to pleasant or unpleasant feelings, which themselves bring about craving, or thirst, that the pleasant feelings may be prolonged, the unpleasant brought to an end. It is in the arising of craving that subject and object come to define themselves in opposition to each other; and this opposition, entailing self-consciousness, is projected into the future, as craving becomes a dependence which is habitual and grasping; occurrent desire becomes a long-term project of appropriation. Thence arises the stream of life, extended indefinitely, on the Buddhist view, by rebirth. This process is sometimes called *ahaṃ-kāra*, I-making, the putting together of what thinks of itself, and is concerned with itself, as a continuing person. But knowing and seeing that none of the five *khandhas* is the self, that they are indeed impermanent and painful, 'there come to be no latent tendencies to I-making, to mine-making, with respect to this consciousness-informed body and all the phenomena external to it'.[8]

What we can take from these passages is that the notion of an I, a self, is one that is constructed, put together; the process of I-making is comprehensible, regular, takes place according to conditions; but it is not taken to be inevitable. In fact the Buddha thought that his discovery of the conditions gave him the ability to avoid their results by removing the conditions. 'This being, that becomes: this not being, that does not become.' But we are still far from understanding the causality of this construction, or indeed the true nature of the elements of the construction. The self projection, and therefore self conception, at the end of the process, somehow arises out of the

short-lived non-personal constituents of sensory contact and affective reaction; but to assert that this process of self-construction is conditioned by ignorance is not to answer the theoretical question of how the 'I' is constructed. Who, we still want to ask, does the construction?

What is needed, and what Buddhism provided, especially in its later more scholastic writings, is a theory of the elements out of which the construction is made. Obviously no separate constructor can be invoked – we do not have a housebuilder as well as the bricks; so the elements must themselves contain the seed of the construction. The elements are all there are, impermanent and unsatisfactory as they may be.

We may remember here the central Kantian point that construction is an intensional activity – it involves the bringing about of a unity in the sense of something understood to be a unity. The construction of a self therefore cannot but involve the synthesis of a concept of the self; though it will also involve the putting together of elements which fit in with the rules of this self-concept, and perhaps the creation of new elements especially designed to fit into it.

It is not enough, then, to characterise the elements as dynamic, causally active; the causality must be of a particular kind. The elements must have some of the features of an active mind. But also we must be able to account for the Buddha's emphatic assertion that they are in themselves void of a self.

I shall first give an abstract description of what could satisfy these conditions; and then elaborate it according to Buddhist models. We could call the basic type of element a state of consciousness, but this would have implications which are too static and passive; so I prefer to use the more dynamic phrase 'rise of thought' (*cittuppāda*), which is the most abstract mental concept in the major scholastic work

called *The Enumeration of Basic Entities (Dhammasaṅganī)*.[9] A thought arises at a point in time (and space, since it is always linked to a body of some kind). But because it is a thought, and therefore intensional, it has a content. In fact it will take the form of a synthesis, a proposition; which itself has a content, namely, the manifold which is synthesised. What is to be synthesised may and usually will stretch beyond the time and place of the arising thought itself; it may include thoughts and physical events from the past and the future. Thus things happening at several times may be linked together, seen to constitute a unity.

In fact the Buddhist texts describe, with varying explicitness, three basic possibilities for the arising thought. I list the three here, and then discuss them in more detail. The first is that with which we ordinary people are, without realizing it, most familiar; the arising thought can go in for person-making, and thus become tied into a sequence of thoughts and experiences, all based on desire and all resulting in suffering. The second is manifested, in the Buddhist path, in the state of mystical trance which is sometimes called *samādhi*; here the arising thought abandons all temporal outreach, and concentrates on itself alone. This may, as we shall see, imply an inwardly focussed synthetic activity; or the cessation of all synthesis. The third possibility is of a synthetic understanding unmotivated by desire, totally dispassionate. To outward appearances this produces a person, but one completely detached from the world in which he lives. This is the saint or *arakant*, or the Buddha himself – though such personifying modes of reference are not really appropriate. 'They live in emptiness, in the unmarked, in freedom; difficult it is to trace their course, like that of birds in the air'.[10] Sometimes the texts imply that the third possibility, arahantship, is the goal, and the inward-turning synthesis of *samādhi* merely a means to it. This is the interpretation I shall develop; though the texts do also contain the

more nihilistic suggestion that the cessation of all synthetic activity is the true goal.

The first possibility then is self-construction, I-making; that is, the making of a being which thinks of itself as a self. The Buddhist view is that a special kind of synthesis goes to produce such a self-concept, namely one based on or motivated by desire or craving (the Pali term is *taṇhā*, literally meaning 'thirst'). The understanding of the temporally extended manifold as a unity in this case is accompanied by an affective relationship between the arising thought and the idea it constructs – that is, there is self-concern. As we shall see, this link between synthesis and desire is, though usual, not necessary. I am not able to give an adequate abstract characterisation of desire; in this scheme of things it must be logically prior to the desiring person; as must ignorance, with which it is inextricably associated. So the term is shorn of its usual logical associations, but is not provided with a new set; unfortunately its status in my account is that of a basic undefined term. Examples of its manifestations, to be given later, will have to serve to explain it. Certain special kinds of direct relationship with past and future, namely memory and anticipation, are particularly important in self-making; but do not compel it. That is, memory and anticipation *may* (in terms of the third possibility) be in a sense non-personal, or trans-personal, containing no desire in their make-up, merely what we may call dispassionate understanding. So, though the arising thoughts are themselves non-personal, or pre-personal, persons may be constructed by and out of them, by 'running through and holding together', in a desire-laden way, a sequence of past, present and future thoughts and physical events. This is like other strongly reductive analyses, in that its evaluative effect is to downgrade the analyzandum, the concept of person; but in Buddhist thought the fact that the constituents are non-personal is no reason for disparaging *them*. They are potential

person-constructs, and so potentially enmeshed in suffering; but equally they are potential person-transcenders, capable of liberation.

The term 'I-making' covers two kinds of making: making something of a manifold, like making sense of an arrangement of coloured pigments at an art gallery; but also making something in the way that one makes a chair, shaping the component parts so that they can be fitted together according to a plan. That is, the thought, considered in itself, is potentially active in two ways; the first, already described, is the unifying activity of the understanding. But construction of a personal unity usually involves not just seeing an already existing manifold as a unity, but organising the future so that it will fit into the individual's self-conception. So desire moves to action, perhaps action in the long term, as plans are made, commitments undertaken. Action in the world obviously involves, though does not consist entirely of, physical causality – or at least some kind of causality which is extensional; its laws are independent of people's understanding of the matter. It is usually[11] assumed that the causality linking what in misleading personal terms is called rebirth is a kind of law of nature; that is, the causal links are there whether anyone knows about them or not. But if rebirth is a causal consequence, it has as a necessary condition the intensional activity of I-making. So putting an end to I-making implies putting an end to rebirth, to the circle of *saṃsāra*. If there is no desire, and therefore no I-making, there is no motivation to action, so the sequence of conditioned co-origination does not take place.

Self-making is a grasping synthesis of past and future, based on desire. The texts usually link desire with ignorance, and we remember that the first element in the standard list of conditioned co-origination is ignorance. It seems that the Buddha had, and expected that his followers would be able to have, a vision of things 'as they really are', free of mistaken speculative theorising, both that which

went on in rival philosophical traditions, and that which he thought the ordinary man was guilty of, in his self-construction. How then are things really, on the account we have been describing? Do people really exist, or do they not? Should we say, in the reductive mode, that arisings of thought exist, but people do not – or only exist as a fagon de parler? Does the house exist, or should we say that only the bricks really exist? The dichotomy 'exists/does not exist', though seemingly exhaustive, is too crude to say what should be said here. Thoughts may but need not construct a person – this is how things are. The vision of reality is of persons with their mode of construction laid bare. The Buddha said that he did not assert a theory of existence; nor of non-existence; nor of unity, nor of plurality: 'not approaching any of these extremes, he teaches a doctrine by a middle way';[12] the doctrine is the conditioned co-origination account of self-making.

The ignorant man though does not understand how he himself is constructed, nor that his construction is only one of the possibilities for the thoughts which he calls his, nor that suffering is the inevitable result of this desire-ridden construction. So attachment to past and future comes about. This embraces a general concern for oneself in past and future. The person with a misdirected mind thinks 'Was I, or was I not, in some past period? What was I, how was I, what did I become? Will I or will I not come to be in a future period? What will I be, how will I be?' etc.[13] Attachment to past and future involves desires motivating action. 'Someone considers and turns over in his mind thoughts about things brought about by desire and lust in the past. As he does so, desire is born, and so he is fettered by those things. This I call a fetter, this thought full of desire.'[14] The contrasting teaching is 'Let go the past, let go the future, let go the present: crossing to the future shore of existence, with mind released from everything, do not again undergo birth and decay'.[15] This

passage refers to the end of rebirth, but it will be noted that this is not something the traveller on the Buddhist path, the path leading to the extinction of desire and therefore of self-making, can properly wish for – that he, he himself, should come to an end of rebirth, or even successfully complete the path.

Does this condemnation of involvement with past and future extend to moral action, i.e. does concern with the past and future interests of other people equally manifest craving and ignorance? We must distinguish between presentations of the ideal, descriptions of the Buddha's vision and its implications, on the one hand; and prescriptions for those who while sharing the Buddhist ideals are still locked in personhood, on the other. From the standpoint of the ideal, all reference to personal life, and so all concern with the relationship between 'oneself' and 'other persons' is based on ignorance, and is to be condemned. But that does not mean that no discriminations can be made between styles of personal life. On the path towards the ideal, those qualities are encouraged which point to the ideal. Selflessness in the moral sense is not unrelated to the metaphysical doctrine of no-self; it obviously connects with the third rather than the second of my three possibilities, that is with desireless synthesis, rather than with the thought's non-temporal self-absorption. There are meditational disciplines for people on the path which systematically extend the emotions and attitudes of loving-kindness, compassion, sympathetic joy and even-mindedness from those for whom one naturally has such feelings to the whole world without discrimination.[16] This is formally similar to Parfit's suggested move from M, a morality which gives a special place to one's kith and kin etc, to N, a neutralist morality which has no place for such extended egocentricity.[17] On the path, then, though all concern for past and future is condemned, what we would call moral

concern for what has happened and will happen is preferable to purely selfish concern.

The second of the possibilities is that the synthesised content of the arising thought does not extend outwards in time, calling in elements from past and future. The thought therefore can be concerned only with itself. 'The noble one is he for whom past, future and present are as nothing; he has nothing and grasps after nothing.'[18] The temporal reference even of the present disappears, when there are no other times to contrast it with.

In this context Buddhist conceptions of mental training are very relevant. There is frequent emphasis in the texts on control; and the metaphor of taming – discipline to bring about control – is often invoked. The implication is that the natural tendency is for thought to run after the past and future; it has constantly to be narrowed down to the present. This is obviously central to the technique of 'mindfulness' (*sati*) – concentrating on some short term and repeated event like one's breathing, vigilantly noting and dis-passionately setting aside the wider-ranging thoughts which intrude. Those who have tried this technique will readily appreciate that the high value placed on the calm of the pure concentrated mind can be seen as metaphysically significant; allowing one's thinking to chase after other times and other places comes to seem an encouragement of what are called 'adventitious defilements'. The only true reality is here and now. In the texts there seem to be two attitudes and developments of this inward-turning possibility. The first is to exploit the absence of contrast, of any kind of duality, to dissolve away even the barest synthetic activity, in order to reach what from a worldly point of view can only be called extinction. Thus there is a progressive technique of concentration (the *jhānas*) which culminates in meditation on boundless space, then bound-less consciousness, then nothingness, then neither perception nor non-perception. But

in general the *jhānas* are treated as means to a further end, and not even a necessary part of the path. The more positive treatment of the thought which does not go elsewhere for its content is that it is an intense alert vision of how things are; the thought sees itself to be impermanent, devoid of a self; and the significance of this has to be extended to what in personal terms would be called the whole of life.

The extension of this vision to constitute a way of living is the third possibility, which we must now consider. This is that a life can, and ideally should, be lived without person-making; more formally, that synthetic understanding and even some forms of activity in the world could be without desire, and so non-personal. In the Buddhist context, it would be claimed that ideals related to the value of personal life have here been transcended. It must be admitted that the Pali texts give us – that is, give people who have not even started on the path – only indications of what this possibility amounts to. There are two main aspects – what may be called the moral and the cognitive. In the Mahāyāna tradition of the *bodhisattva*, there is an explicit and much elaborated doctrine of the identity of these two aspects of the ideal, that is of the absolutes of wisdom or insight, and compassion; but descriptions of the ideal are not much elaborated in the Pali texts, which say much more about the path, from the point of view of those still engaged in it, than about the goal.

On the moral side, two types of being represent the ideal; the *arahant* or saint who has successfully followed the path to its end, and the Buddha, who himself discovered the path and then taught it to others. What kind of life do these non-people lead? With respect to the Buddha, although in formal terms, as he said himself, nowhere does he exist, in fact the texts give us a kind of biography, according to which he lived a life of compassion, travelling and preaching, showing himself sensitive to the individual needs and circumstances of those he spoke to and lived with. That is he can, from our point of

view, be seen as a moral hero, a manifestation of the relation I suggested earlier between moral and metaphysical selflessness.

For a more abstract description of what I have called the moral ideal we may turn to some verses from the *Sutta Nipāta*.

> 'Having what vision and what virtuous conduct is one called "calmed"? Tell me this, Gotama, when you are asked about the supreme man.'

> 'With craving departed before the dissolution of the body' said the Blessed One, 'not dependent upon the past, not to be reckoned in the present, for him there is nothing preferred in the future. Without anger, without trembling, not boasting, without remorse, speaking in moderation, not arrogant, he indeed is a sage of restrained speech.

> ...It is not because of love of gain that he trains himself, nor is he angry at the lack of gain. He is not opposed to thirst, nor is he greedy for favour, being indifferent, always mindful. He does not think of himself as equal in the world. He is not superior nor inferior. For whom there exists no craving for existence or non-existence, him, indifferent to sensual pleasures, I call "calmed". In him there are no ties; he has crossed beyond attachment.'[19]

These mainly negative characterisations do suggest a style of life, one of complete self-control and self-reliance. 'Friendly amongst the hostile, peaceful amongst the violent, unattached amongst the attached'.[20] As already quoted, his path is as untraceable as that of birds in the air. He is in fact, as we should expect, a transcender of the categories of ordinary life.

In a few passages, the question of whether *arahant* and Buddha go in for action is addressed. Superficially, it is obvious that they do, otherwise continued life in the world would be impossible for them. But the concept of action and the associated concepts of planning, willing, intending, are so readily associated with the ideas of grasping, attachment, desire, that a positive doctrine of action without desire, though surely needed, is not forthcoming.

The usual account is of the contrast between the ignorant man who craves and therefore acts, and the wise man who desires nothing and so grasps after nothing. 'He does not plan an act of merit or demerit. Not planning, not willing, he grasps at nothing

whatever in the world. Not grasping he is unperturbed; he is of and by himself utterly well'.[21] Two models which might be developed to fill the gap are those of spontaneous action, and rational action, again thinking of Parfit's attempts to link rationality and neutralist morality, but I shall not attempt such development here.

The cognitive ideal, as present in the Buddha and to some extent in the *arahant*, is synthetic understanding of time, past present and future, free of any personal reference. The Buddha claims to be able to see the rebirth histories of all men – presumably by a kind of quasi-memory. He also over-comes the distinction between self-knowledge and knowledge of other minds; he can see into the hearts of all men. At another level, he has seemingly direct knowledge of the laws governing phenomena of *saṃsāra* – he knows that all *saṃkhāras* are impermanent and devoid of self, but he also knows that they are linked together in conditioned co-origination.

Understanding which is thus distanced from any personal point of view has obvious affinities with scientific understanding; and one thinks again of the Western model of rationality. This is often seen, both in practical and in epistemological contexts, as a transcendence of the limitations of the point of view of the individual self.

III

These then are the three possibilities for the arising thought presented in the Pali Buddhist Tradition. I have described them for what seems to me their intrinsic interest, though I can see that the claim on which they rest, that person-construction depends on desire, has not been adequately explained.

But the basic ontology, of an arising thought going in for synthesis, does not depend on this claim. Provided the basic Kantian conditions for synthesis are satisfied, the Buddhist account of the

arising thought makes possible a wide variety of views about what one should think oneself to be, and therefore about criteria for re-identification of persons. That is, there are many different rules under which the arising thought can unite past and future events and thoughts, and see them as a self. The Buddhist view condemns all self-constructions, as entailing unsatisfied desire and therefore suffering; but we can now consider a theory detached from this extreme position, a theory of self-construction which allows for the indeterminacy with respect to 'person' which Parfit's bizarre stories argue for. Questions like 'am I the same person as David Bastow 40 years ago?' or 'does one stay the same person if tele-transported?' cannot be answered merely by reference to the basic ontology. Our culture has constructed provisional answers to them, and may in the future construct different ones; we as individuals may, for our own purposes, prefer yet other self-conceptions. With reference to the problems raised at the beginning of the paper, postulating the arising thought as the basic element of the theory makes it clear, as the Hume/Parfit analogies do not, how self-concepts can be constructed.

It may be remarked, finally, that the active role which individuals plays in constructing their own self-conceptions has been emphasised by existentialists. Kierkegaard, for instance, thought that unless one actively took responsibility for one's past, and even for one's heredity and environment, and projected one's plans for oneself into a limitless future, no real self had been created. Sartre emphasised, in a way which echoes Buddhist talk about the transience of all *saṃkhāras*, that decisions about oneself have constantly to be re-made, re-affirmed. As each new thought arises, the past becomes mere facticity, to which the for-itself remains committed only if it chooses to be. Each new arising thought provides a wholly new opportunity for self-construction.

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[1] Derek Parfit, Reasons and Persons (Oxford: Clarendon Press, 1984), especially Chapter 10.

[2] Op. cit., 250.

[3] Op. cit., 199–201.

[4] Op. cit., 210.

[5] Op. cit., 502.

[6] *Samyutta Nikāya* (London: Pali Text Society, 1884), volume 1, 135. The translation is mine, as are the other quotations from Pali texts, except where other translations are mentioned in these notes.

[7] There is an extended and profound consideration of this concept, and its place in the history of Indian thought, in Lilian Silburn, *Instant et Cause* (Paris: Librairie PhilosophiqueJ Vrin, 1955). See especially Chapitre VI: Bouddhisme Canonique.

[8] *Majjhīma Nikāya* (London: Pali Text Society, 1977), volume iii, 18–20.

[9] *Dhammasaṅganī* (London: Pali Text Society, 1978), 1. The concept of *cittuppāda* is discussed in Alexander Piatigorsky, *The Buddhist Philosophy of Thought* (London and Dublin: Curzon Press, 1984), Chapter 4.

[10] *Dhammapada* (London: Pali Text Society, 1914), stanza 92. For a generally reliable translation, see *The Dhammapada*, translated with notes by Ṇārada Thera (London: John Murray, 1972).

[11] Though not always; see Piatigorsky, op. cit., 76–81.

[12] *Majjhīma Nikāya*, volume ii, 76–77.

[13] *Majjhīma Nikāya*, volume i, 8.

[14] *Anguttara Nikāya* (London: Pali Text Society, 1964), volume i, 264.

[15] *Dhammapada*, stanza 348.

[16] Buddhaghosa, *The Path of Purification* (translation, by Nyānamoli, of *Visuddhimagga*) (Berkeley and London: Shambala, 1976), chapter XI, §9.

[17] *Reasons and Persons*, 108–109.

[18] *Dhammapada*, stanza 421.

[19] *Suttanipāta* (London: Pali Text Society, 1965), stanzas 848–857. Translated by K R Norman in *The Group of Discourses* (London: Pali Text Society, 1984), 142.

[20] *Dhammapada*, stanza 406.

[21] *Majjhīma Nikāya*, volume ii, 82.

BUDDHIST REDUCTIONISM

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There has been much recent discussion concerning the relation between Parfit's Reductionism and the view of persons to be found in early Buddhism and Abhidharma. Some have claimed that Parfit is wrong to see in the Buddhist position an important anticipation of his own view—since the Buddhist view is not, as he supposes, Reductionist, but rather Eliminativist.[1] Others suggest that while certain of the Abhidharma schools might have held a Reductionist position, early Buddhism may defensibly be interpreted as Non-Reductionist in character.[2] It is something of a cliché among scholars of Buddhist and comparative philosophy that contemporary philosophical discussions would be enriched through greater familiarity with the Buddhist philosophical tradition. If such claims are to be taken seriously, then we should at least be clear about how the Buddhist philosophical problematic maps onto contemporary discussions. Further, we need to demonstrate, through concrete case studies, that Buddhist resources can facilitate genuine progress on current disputes. I shall here propose a taxonomy of views on persons and personal identity that I believe helps clarify the relations among the various Buddhist and contemporary positions on these issues. I shall also seek to show that when we develop a taxonomy that accommodates both traditions, certain of the currently held positions come to appear more plausible.

We might do well to begin with a general characterization of reductionism.[3] This is widely held to be, first and foremost, a view about what belongs in our ontology. To be a reductionist about things of kind K is, on this view, to hold that while it is not wholly false to claim that there are Ks, the existence of Ks just consists in the existence of certain other sorts of things, things that can be described without asserting or presupposing that Ks exist. Thus a reductionist about mobs would maintain that while mobs may be said to exist in a sense, the existence of a mob is really nothing over and above the existence of certain particular persons behaving in certain ways at a certain place and time. The characteristic reductionist "just consists in" clause is often explicated in terms of the "complete description" test: that we could give a complete description of all the facts about reality without ever mentioning Ks. Thus, suppose that last night a mob set fire to government buildings in the capital. Our reductionist about mobs would claim that we can exhaustively describe this event, just by describing certain particular facts about the particular people in that mob, and without ever mentioning the mob. Since the mob's action of setting fire to those buildings just consists in certain individual actions, nothing is omitted from our description when we describe those individual actions and say nothing of a mob engaging in arson.[4] And, claims the reductionist about mobs, if we can give a complete description of reality without either asserting or implying that mobs exist, mobs are thereby shown to be ontologically superfluous, and thus have no place in our ultimate ontology.

When reduction ism is seen in this way, non-reduction ism is then readily characterized as the view that things of kind K do belong in our ultimate ontology—that there is nothing that Ks "just consist in," since Ks are ontologically primitive. (Hence a non-circular analysis of "K" cannot be given.) But the third possible view about Ks, the

eliminativist view, is not so easily captured on a purely ontological approach to the issue. For then the eliminativist about mobs would seem to be one who proposes that we eliminate mobs from our ontology altogether, and it is far from clear how this position would differ from that of the reductionist about mobs. It is only when we bring in the semantic dimension of the issue that these two types of positions can be clearly distinguished. To say, for instance, that organic chemistry may be reduced to quantum mechanics is to make a certain claim about the relation between two theories: talk of covalent bonds may be systematically replaced by talk of certain quantum mechanical states, so that the latter theory is thought to explain the predictive success of the former. By contrast, the demonic-possession theory of disease does not reduce to the germ theory, for there is no way systematically to translate talk of being possessed by a certain demon into talk of bacterial or viral infection.[5]

Thus it is that we take a reductionist stance toward the covalent bond, but an eliminativist stance toward disease-causing demons. The term "covalent bond" is now revealed to refer to certain distinctive sorts of quantum mechanical phenomena. So while a complete description of reality need not mention covalent bonds (whereas it would have to mention such things as quantum shifts), we may tolerate talk of such things just because the term is a useful way to refer to a certain class of quantum phenomena in which we take an interest. With demons, though, things are quite different. When we come to accept the germ theory of disease, it becomes apparent that our former talk of being possessed by demons cannot be seen as just a rough-and-ready way of referring to bacterial or viral infection. For one thing, demons are thought to have properties, such as malicious intent, that could not be explained on the assumption that they just consist in masses of microscopic replicators. For another, a given kind of demon was thought to be

responsible for what we now consider to be essentially unrelated diseases (the viral versus bacterial pneumonia problem). Whereas the covalent bond is a posit of a useful though subsumed theory, the demon is a posit of a discredited theory; hence all talk of demons is to be eliminated.

Distinguishing between reductionism and eliminativism requires introduction of the semantic dimension. But this complicates matters significantly. For success at translating between one theory and another is something that admits of degrees. Consider the terms "sunrise" and "sunset," which are intermediate between the case of the covalent bond and that of the disease-causing demon. We might have thought, when we transferred allegiance from the geocentric model to the heliocentric model of the solar system, that these terms were ripe for elimination. Yet they survive. Had we expected otherwise, this would have derived from the notion that their meanings seemed inextricably bound up with the now discredited geocentric theory. Instead, these terms exhibited sufficient semantic flexibility that we could retain them while suppressing the implication that the astronomical phenomena are explained by the sun's motion around the earth. This semantic shift was not accompanied by a shift in supposed referent: we take the Ptolemaic astronomers to have been referring to the same thing we refer to with these terms. We can imagine circumstances under which something similar might have occurred with our talk of demons (and as did happen with "humor"). What this suggests is that reductionism and eliminativism represent the ends of a continuum, with a middle range of cases in which it may be indeterminate whether the entities of the old theory are being reduced to, or eliminated in favor of, the entities of the new theory. But as is often the case with sorites phenomena, the existence of such an intermediate gray area need not count against

there being a real distinction to be drawn between reductionism and eliminativism.

Characterized semantically, then, non-reductionism about Ks will be the claim that Ks will be mentioned in our final theory about the ultimate nature of reality. Both reductionists and eliminativists deny this claim, but they disagree over whether continued talk of Ks will have any utility in the light of our final theory. The eliminativist, of course, proposes eliminating all talk of Ks, both in our final theory and in its ordinary-language adjuncts. It might be thought, then, that the reductionist sees matters thus: while the term "K" is in principle eliminable from our language (since we can give a complete description of reality without mentioning Ks), its continued use is both tolerable (because of translatability), and of some utility given our interests.

Now I believe this is an accurate portrayal of the reductionist position, but there are those who would dispute this. Some draw a distinction between strong and weak reductionism. The strong reductionist (or "conventionalist") is said to subscribe to the eliminability thesis, while the weak reductionist does not. A weak reductionist about Ks maintains that Ks have a kind of "conceptual priority" such that, although a non-circular, nontrivial analysis of the term "K" can be given, some of the concepts occurring in the analysis will be adjectival on "K," in the way in which "citizen" is adjectival on "nation."[6] Thus the weak reductionist denies what the strong reductionist affirms: that Ks are ontologically parasitic on, or logically constructed out of, more particular things; that we believe Ks to exist only because of the way in which we talk (hence the label "conventionalist" for strong reductionism). I have already indicated that I find this distinction problematic. It is not clear to me that so-called weak reductionism is properly characterized as a kind of reductionism at all. But further discussion of this point must await an

examination of the reductionist, non-reductionist, and eliminativist approaches to the concepts of a person and personal identity, to which we now turn.

Parfit's general account of Reductionism (1984, pp. 210–214) provides a convenient starting point for this examination. Parfit characterizes Reductionism about persons as the view that the existence of a person just consists in the existence of a brain and body, and the occurrence of a series of interrelated physical and psychological events. Given the reductionist force of this "just consists in," all of the facts to which the existence of a person is here being reduced—the existence of a particular brain, the occurrence of a certain psychological event, the holding of causal relations between a particular psychological event and certain other physical and psychological events, and so forth—will allow a completely impersonal description, that is, a description that neither asserts nor presupposes that this person exists. Hence the Reductionist view of the identity over time of persons: that this just consists in more particular facts, facts that can be described in a thoroughly impersonal way. (This general schematism is fleshed out by neo-Lockeans with purely psychological facts, by others with facts about the body or the brain; hence there are two possible Reductionist approaches to personal identity.)

There are also two possible Reductionist views about what a person is: that a person just is a particular brain and body and a series of interrelated events, and that a person is an entity that is distinct from a brain and body and such a series of events. To those familiar with the Buddhist problematic, this will sound rather like the question whether a person is identical with or distinct from the five skandhas (bodily constituents, feelings, perceptions, volitions, and consciousnesses). And since the standard Buddhist response to this question is that the person is neither, one might be inclined to

wonder how much affinity there is between Reductionism and any Buddhist view. Our puzzlement is heightened when Parfit also tells us that on the "distinct entity" view that he prefers, not only may persons be said to exist, they may also be said to be the subjects of experiences, the owners of their bodies, and the like. And yet all Reductionists, we are told, deny the Non-Reductionist thesis that a person is a separately existing entity, that is, an entity whose existence is distinct from that of a brain and body and a series of interrelated events. Is Parfit's preferred form of Reductionism coherent? Indeed it is. The key to understanding the view may be found in this passage:

> Even Reductionists do not deny that people exist. And, on our concept of a person, people are not thoughts and acts. They are thinkers and agents. I am not a series of experiences, but the person who *has* these experiences. A Reductionist can admit that, in this sense, a person is *what has* experiences, or the *subject of experiences*. This is true because of the way in which we talk. (1984, p. 223)

The implication, of course, is that we conceive of persons as existing distinct from their experiences, and so forth, *only* because of the grammar of our language. A person is not in fact an entity that exists separate from a particular body, and so forth; our belief that they are is merely an artifact of our language, yet it is not entirely wrong to continue to speak of persons in this way. What is at work here is the tension characteristic of all reductionisms between a deflationary tendency that seeks to diminish the significance accorded the things being reduced, and a felt need not to sever all connections with existing practices. Since persons are not to be found in our ultimate ontology, the continued existence of a person cannot have the kind of importance it is commonly thought to have. Yet since our ordinary ways of conceiving of persons are not wholly mistaken, we may expect that at least some of the normative weight that we now invest in persons will be preserved in the more particular facts to which the

existence of persons is to be reduced. Reductionism is a middle path between the extremes of Non-Reductionism and Eliminativism.

A Non-Reductionist need not maintain that persons are separately existing entities. Parfit distinguishes between two versions of Non-Reductionism: the view that persons are separately existing entities (such as Cartesian Egos) and the view that while we are not separately existing entities, the existence of a person involves a further fact, over and above the "more particular facts" of the existence of a brain and body and the occurrence of a series of interrelated physical and psychological events. The classic expression of the first version in the Western tradition is, of course, Descartes' conception of the "I" as a thinking substance; Swinburne (1984) represents a more recent formulation. (This type of view is also well represented in the Indian tradition, for example in the Nyāya theory of the ātman and the Sāṃkhya theory of puruṣa.) The basic idea here is that the human being (and possibly other life-forms as well) is a complex system consisting not only of those things, such as body parts and mental events, that are ordinarily observable through sense perception and introspection, but also containing some one entity that constitutes the essence of the system, that one part the presence of which is required in order for the system to exhibit the properties that we ascribe to persons; it is the continued existence of this entity that constitutes personal identity over time.

While this type of view is relatively familiar, the "further fact" version of Non-Reductionism seems rather more puzzling. Here we appear to have a reluctance like that of the Reductionist to posit extra entities, together with the insistence that certain key facts about persons cannot be accounted for in terms of more particular, wholly impersonal facts. In the Western tradition, Reid, Butler, and more recently Chisholm have put forward views that might be interpreted as of this sort. But in each of these cases there are also

elements that seem to suggest a belief in persons as separately existing entities.[7] And it is not difficult to see why clear-cut instances of this position might be hard to come by, since if it is true that persons exist and it is also the case that the concepts of person and personal identity are simple and unanalyzable, we should expect there to be some distinct entity the existence and persistence of which explain these singular facts about persons and their identity over time. The Vātsīputrīyas or Pudgalavādins of the Buddhist tradition do, though, represent a clear instance of this type of Non-Reductionism; this is precisely the force of their claim that the person (pudgala) is, while existent, neither identical with nor distinct from the skandhas.[8]

Parfit does not himself discuss Eliminativism, so to see where this fits on the philosophical terrain we need to turn to those authors, namely Giles and Stone, who advance this view as the Buddhist response to Parfit's Reductionism. Unfortunately, Giles is not especially helpful, apparently falling prey to some serious terminological confusion. He begins by distinguishing between reductionism and eliminativism through the use of an example from philosophy of mind, the dispute between identity theorists and eliminative materialists. And he notes the characteristically eliminativist tenor of the latter's claim that folk psychology is so hopelessly confused as to defy translation into any scientific discourse, and so should be abandoned. Yet he goes on to propose that we call Eliminativist the early Buddhist anatman theory (as well as Hume's *Treatise* position), despite the fact that on that view we will, "on pragmatic grounds, continue to permit the use of the language of personal identity" (1993, p. 176). But if talk of persons and their identity over time has some utility (as all Buddhists in fact maintain), then our theory of persons cannot be a candidate for utter elimination. He also takes the *Milindapañha* denial that the person is

identical with the psychophysical complex as a whole to be a rejection of Reductionism. But Reductionists do not claim that a person is identical with a certain sum of impersonal elements; instead they claim that the existence of a person just is the occurrence of certain impersonal elements. While Giles sees the importance of the Buddhist theory of two truths, he fails to see how it may be used to mark the difference between "is identical with" and "just is."

Stone (1988) is more helpful. Eliminativism is to be distinguished from Reductionism not in terms of the denial of a self (both agree that we are not "something extra") or in terms of the denial that persons are to be found in our ultimate ontology (both deny that persons have this privileged status), but rather in terms of the question whether the attitudes we ordinarily take toward ourselves and others are at all coherent. The Non-Reductionist claims that such things as prudential concern, anticipation, regret, responsibility for past deeds, merit, and the like all require that there be something extra, over and above body and brain, and so forth. The Reductionist denies that there is this something extra, but holds that such attitudes may still be rational (even if their scope is somewhat altered when we come to accept Reductionism). The Eliminativist agrees with the Reductionist that we are not something extra, but also agrees with the Non-Reductionist that our attitudes toward persons are coherent only if we are something extra. Prudential concern, hopes, fears and regrets, judgments of responsibility, merit, and praise and blame—all these are irrational. And since Locke is right to see the forensic elements as central to the concept of a person, it follows that all talk of persons is deeply incoherent. In place of the mildly dismissive Reductionist attitude toward persons—as "mere constructions" out of more fundamental entities—we find in Eliminativism an outright rejection of all that persons are thought to

be. Like the demons believed in by our ancestors, persons are posits of an utterly misguided theory.

Like Giles, Stone identifies the Buddha as an Eliminativist. As will already be evident, I believe this is mistaken. But it may prove worthwhile to examine why some might see early Buddhism and Abhidharma as Eliminativist rather than Reductionist. First we need to see how the taxonomy we have developed so far might need adjustment in order to accommodate the Buddhist problematic, and so we turn to an examination of some representative early Buddhist and Abhidharma texts. When this is done we will return to the question of reading Buddhism as Eliminativist.

One passage in the early Buddhist text *Milindapañha*[9] clearly exhibits signs of Reductionism. The text as a whole is in the form of a dialogue between the Buddhist monk Nāgasena and a king, Milinda by name, who seeks to enhance his understanding of Buddhism by asking Nāgasena a series of probing questions concerning the system. The passage in question opens with Milinda asking whether adult and infant are the same person or distinct persons. Nāgasena replies that they are neither the same person nor distinct persons,[10] and asks Milinda's view. The king replies that adult and infant are distinct persons. This answer is rather surprising, since throughout the work Milinda tends to represent the commonsense view of things, and most people would judge the adult Milinda to be the same person as the infant Milinda. But it appears from the context as if in this case the king is not to serve as representative of our commonsense intuitions, but is rather expressing a certain understanding of the Buddha's teachings on persons. The king has already learned through his discussions with Nāgasena that the person is made up of five skandhas, none of which exists continuously throughout the course of a lifetime, and thus that the person is devoid of a self. He now reasons that since none of the

skandhas that made up the infant is present in the adult, adult and infant must be distinct persons. He supposes, that is, that personal identity over time requires the continued existence of some one entity through the distinct stages in the life of a person; since the skandha analysis reveals the absence of any such entity, it follows that personal identity does not extend over any substantial portion of a lifetime.

Anyone who has taught the early Buddhist argument for nonself (anātman) from the impermanence of the skandhas will recognize this response, since it is quite common for students to understand the Buddhist teaching in just this way. But Nāgasena makes it clear through a series of reductios that Milinda has reasoned incorrectly. By the same reasoning, it would follow that there are no mothers or fathers, no educated persons, and no one who deserves punishment for past crimes. A mother, for instance, is a person who conceives, bears to term, and then gives birth. But the skandhas making up the woman who conceives are no longer present, for example, in the woman carrying a second-trimester fetus. By Milinda's reasoning, then, the woman who gives birth is not the same person as the woman who conceived, or the woman who bore the fetus, and so is not a mother. Milinda agrees that these results are unacceptable, and asks Nāgasena how he views the matter. Nāgasena replies that adult and infant are the same person. This would appear to contradict his earlier response, that adult and infant are neither the same person nor distinct persons. But Nāgasena goes on to explain that those skandhas making up the adult have as their causal antecedents the skandhas that made up the infant; impermanent elements existing at distinct times are collected together—that is, make up a person— when they bear the right sorts of causal relations to one another.

This is illustrated with the example of the one light that shone all night. If a lamp were to be lit in the evening and burned

continuously until the morning, we would agree that there was one light—one source of illumination—that shone all night. Yet it is agreed that that which actually illuminates at any one moment during the night, namely a flame, is numerically distinct from that which illuminates at any other moment. This follows from the physics of flames, for a flame is a collection of fire atoms (by classical Indian physics) or incandescent hydrocarbon molecules (by our physics), these entities undergoing constant replacement. Yet we do not, for all that, say that there were many distinct lights illuminating the room over the course of the night; it is not incorrect to say that there was just one light shining all night. This, explains Nāgasena, is because the flame at 4:00 A.M. has as its remote causal antecedent the very first flame in the series, that which occurred when the lamp was lit at 9:00 P.M. As long as the right conditions obtain, a given collection of fire atoms will, in going out of existence, cause a new collection to come into existence. Whenever distinct flames form such a causal series, this may be referred to as one continuously existing light.

Earlier, Nāgasena told Milinda that the name "Nāgasena" is a mere convenient designation for a causal series of sets of impermanent skandhas. So here he might say that the expression "one light that shone all night" is a convenient designation for a causal series of collections of fire atoms. In the *Nikāyas*, the canonical literature of early Buddhism, "chariot" was the stock example of a convenient designation. In the Abhidharma literature we find such other instances as "forest," "village," "oven," "head hair," and "army." To call "forest" a convenient designation is to say approximately the following: given the regular occurrence in the world of certain sorts of clusterings of trees, and the nature of the interests we have in such clusterings, it has proven advantageous that we have a single term that may be used to refer to such clusterings, and thus avoid

the prolixity involved in referring to the individual trees and their relations to one another.

The concept of a convenient designation plays a key role in a two-part strategy for undermining belief in a self. First it is argued, through the use of the skandha analysis, that there is no empirical evidence for the existence of an entity having the properties of a self: continued existence throughout a lifetime, being the subject of experience, performing the executive function, and the like. Then it is argued that our belief in a self is generated by our use of such convenient designations as "person," the personal pronouns, and personal names, in conjunction with the misguided acceptance of a naive semantic realism that takes the meaningfulness of a word to require the existence of some entity bearing that word as its name. Thus, since all of our ways of conceptualizing persons may be accounted for without supposing there to be anything more to the existence of a person than just a complex causal series of impermanent collections of skandhas, and there is no empirical evidence for the existence of anything other than the skandhas, we have no reason to believe that the existence of a person involves anything other than impersonal phenomena in a complex causal series.

It is possible to see the strategy that Parfit employs in defense of Reductionism as proceeding along similar lines. For Parfit first argues (1984, pp. 223–228) that we do not have the sort of evidence that would support the claim that we are separately existing entities, He then proceeds to try to show, through the use of various puzzle cases, that personal identity over time is subject to the same sorts of sorites difficulties as are heaps, clubs, and nations. And since most of us are willing, when confronted with such difficulties, to say that heaps, clubs, and nations are said to exist only because of the way that we talk, this suggests that Parfit sees "person" as a kind of

convenient designation. If such a reading is correct, then this parallel counts as evidence in support of the claim that early Buddhism and Abhidharma are Reductionist. But Naga-sena's use of the notion of a convenient designation brings out something else as well. While the *Milindapañha* does not employ the doctrine of the two truths, this passage nicely illustrates the tensions that led to the development and articulation of this device in the Abhidharma.

The doctrine of the two truths distinguishes between what is called conventional (saṃvṛti) truth and ultimate (paramārtha) truth. A statement is said to be conventionally true if it conforms to common sense, that is, if it is in accordance with conventionally accepted linguistic and epistemic practices. If we use "conceptual fiction" to refer to whatever is thought to exist only because of our use of a convenient designation, then "ultimate truth" may be defined as follows: a statement is ultimately true if and only if it corresponds to the facts and neither asserts nor presupposes that conceptual fictions exist. Given a sufficiently restrictive ultimate ontology, it will then turn out that most statements that are conventionally true are ultimately false. It thus becomes necessary to explain why most such conventionally true but ultimately false statements appear to have utility for human practice. The explanation is simply that while certain of the entities quantified over in such a statement do not exist, it is possible systematically to replace all talk of such entities with talk of entities that do ultimately exist, thereby arriving at a statement that is ultimately true, that is, that does correspond to facts the constituents of which belong to our ultimate ontology. Thus, most conventionally true but ultimately false statements are amenable to full translation[11] into ultimately true statements; all that is lost in such translation is the misleading implication that conceptual fictions exist.[12]

This device allows us to resolve the seeming contradictions in Nāgasena's position. When he claims that adult and infant are neither the same person nor distinct persons, he is stating what he takes to be an ultimate truth. Since persons are conceptual fictions, any claim concerning the identity over time of a person must be ultimately false. His assertion that adult and infant are the same person he takes to be only conventionally true. Likewise Milinda's assertion that adult and infant are distinct persons Nāgasena claims to be conventionally false. For it is our conventional practice to refer to infancy and adulthood as merely two stages in the life of one continuous person. And a whole host of other customary practices involves this, as presupposition, for instance the notion that as adults we are obligated to care for our aged parents because they cared for us as infants. But the conventional truth that I am the same person as the child pictured in a certain old photograph may be accounted for in terms of facts about a complex causal series of collections of skandhas, just as the conventional truth that there was one light that shone all night may be accounted for in terms of the facts about a causal series of collections of fire atoms. We may eliminate all talk of such conceptual fictions as persons and enduring lights, yet preserve the underlying truths that such statements are attempting, in their rough-and-ready way, to assert.

I think we can now see why early Buddhism and Abhidharma have often mistakenly been seen as Eliminativist. The error arises through attending solely to what is said at the ultimate level of truth, and failing to appreciate the relation between the ultimate and conventional levels of truth. Eliminativism is not simply the view that talk of persons may in principle be eliminated. Both Reductionist and Eliminativist maintain that ultimately there are no persons. But the Eliminativist urges in addition that the claim that there are persons be seen as conventionally false as well, since the Eliminativist

maintains that our commonsense theory of persons is incoherent, or at least so misleading as to be more troubling and confusing than theoretically useful.[13] By contrast, the Reductionist holds that while unquestioning adherence to the commonsense theory of persons does result in misguided views about how we should live our lives, the theory does have its uses, which fact requires explanation; hence it is conventionally true, though ultimately false, that there are persons. Like Milinda's wrong view about adult and infant, the reading of early Buddhism as Eliminativist results from the failure to consider the semantic dimension of the dispute.

I claimed earlier that a reductionist about things of kind K sees much of our talk of Ks as *not wholly incorrect*. The doctrine of the two truths gives us one way of understanding what this "not wholly incorrect" might come to: ultimately false, since "K" is a mere convenient designation and Ks are not in our ultimate ontology; but still conventionally true, since talk of Ks both has utility given our interests and customary practices, and may systematically be replaced with talk of entities that are in our ultimate ontology. There are those, however, who, while describing themselves as reductionists, would resist this assimilation, since they have serious reservations about the notion of an ultimate ontology. This is clearly so for those so-called "weak" Reductionists, such as Shoemaker and Brennan, who deny that talk of persons is eliminable from our discourse, and deny that persons are logically constructed out of more particular and completely impersonal things. But this might also be true of a "strong" Reductionist like Parfit, who seems somewhat reluctant to commit himself to any one ultimate ontology.[14]

Now such reluctance may reflect nothing more than a rhetorical strategy designed by Parfit to appeal to the widest possible audience. But it might instead come from the belief that any

ontology must always be provisional, forever open to revision in the light of future experience and future changes in human interests and practices. I would maintain, however, that reductionism requires minimally that the notion of an ultimate ontology be held to be coherent, something to whose attainment we may at least sensibly aspire. For the normative force of reductionist claims requires ontological backing.[15] The reductionist's strategy is to persuade us that Ks have less importance than we are wont to believe, by first convincing us that Ks are really just constructions on more primitive entities. And the notion of relative primitiveness at work here makes sense only on the assumption that there is such a thing as the ultimate ontology. Parfit first argues that we are not what we believe (separately existing entities), and then uses this result to support his claims concerning rationality and morality.

The effectiveness of such a strategy depends on the implicit premise that persons would not have the sort of rational and moral significance ordinarily ascribed to them unless they were themselves ultimately real entities. Indeed, the theory of two truths, and the view of ontology that that theory implies, are admirably suited to express the points that Parfit seeks to express—for instance, by claiming that the facts of personal identity over time and the separateness of persons are "less deep" on the Reductionist view, and so lack the rational and moral significance we tend to give them (e.g., 1984, p. 337). For the metaphor of depth may be replaced along the following lines: a fact is "less deep" just in case a statement expressing that fact is conventionally but not ultimately true. But to say this is just to say that some of the entities referred to in that statement are not ultimately real, are not to be found in our ultimate ontology.

That the account of persons developed in early Buddhism and Abhidharma is meant to have normative force is clear. Liberation

from the cycle of rebirth is said to result from the realization that there is no self, and that the continued existence of a person just consists in a complex causal series of collections of physical and psychological elements. And liberation involves the rejection of that mode of life typical of the "householder," with its characteristic attachments to home, family, and occupation as ongoing enterprises, as well as its characteristic concern for one's prospects upon rebirth. All such attachments and concerns are to be replaced by a way of life marked by equanimity, spontaneity, and the developed capacity to feel sympathetic joy at the welfare of all. The sorts of significance that we ordinarily attach to our life projects and our situation beyond this life are undermined by the truth about what we ultimately are.

Buddhism is often said to be a kind of middle path between two extremes. A number of different pairs of opposing extreme views are identified in the tradition, but one such pair is frequently singled out for special emphasis, namely that of eternalism and annihilationism. Eternalism is the view that there is an eternal self, and thus that rebirth is transmigration. Annihilationism is usually portrayed as the view that the self ceases to exist at the end of a single lifetime. Eternalism is said to have the normative consequence that since one will deserve the karmic fruits reaped in the next life from one's present deeds, we all have a reason to act in accordance with the karmic moral rules. Annihilationism, by contrast, is said to result in a radical antinomianism: since there can be no karmic retribution beyond this present life, one has no reason to act morally where doing so involves sacrificing one's own immediate gratification. Both views are, the Buddhist claims, false because of their shared presupposition that a self exists. Yet some of the normative consequences of eternalism must be preserved, since belief in the karmic moral order is required if persons are to progress toward enlightenment.

The middle path between eternalism and annihilationism thus consists of a demonstration that rebirth is compatible with the nonexistence of the self. Since the continued existence of a person in one life just consists in the obtaining of appropriate causal connections among various physical and psychological events, the continued existence of a person over several lives is likewise possible in the absence of an enduring self, provided the right sorts of causal connections obtain between lives. And our alleged ability to recall events from past lives presumably shows that such connections do obtain. Thus to the extent that one is justified in feeling concern for what happens to oneself in the later stages of this life, concern is equally justified with respect to one's future lives. Annihilationism wrongly assumes that only the continued existence of a self could give one a reason for self-interested concern, yet this is clearly false in the case of a single lifetime. As the life of the enlightened person demonstrates, one can know that there is no self yet not lose oneself in a "solipsism of the present moment."[16] While enlightened persons do not exhibit self-interested concern in the same way and to the same extent as the unenlightened, they do appear to be motivated by considerations concerning how their present acts will affect them in the future.

Parfit describes three possible views about what it is rational for an agent to seek: (1) the classical self-interest theory (S), according to which we as rational agents should ultimately be governed by a temporally neutral bias in our own favor; (2) the extreme claim (E), that if Reduction ism is true then we have no reason to be concerned about our own futures; and (3) the moderate claim (M), that if Reduction ism is true, then the causal connections obtaining between different stages in our lives give us some reason to be concerned about our own futures. Parfit claims that since Reduction ism is true, S is false; but he also asserts that both E and M are

defensible.[17] Clearly, this dispute does not map perfectly onto the Buddhist problematic of eternalism, annihilationism, and a middle path between them. I would claim, however (though I cannot argue at any length for this here), that the Buddhist discussion of eternalism and annihilationism suggests that M should be accepted and E rejected. Like annihilationism, E appears to be motivated not by Reduc-tionism but by Eliminativism. The Reductionist would agree that since there are ultimately no persons, such anticipatory attitudes as dread and such retrospective attitudes as regret cannot rationally be justified at the ultimate level of truth.[18] But persons are conventionally real: the practice of speaking of ourselves as persons has greater overall utility than the available alternatives.[19] And so, certain person-involving attitudes may turn out to be rationally justifiable at the conventional level of truth.

Consider this analogy. Most of us would agree that a city just consists in certain buildings, streets, persons, and so forth, arranged in certain characteristic ways; strictly speaking there are no cities. Still, given the utility of the convenient designation "city," a certain degree of civic pride may be justifiable. The overweening pride of civic chauvinism is ruled out, since it seems to require that one think of the city as a separately existing entity. But urban aggregations themselves have some degree of utility, and this is enhanced by the behavior that results when their inhabitants exhibit some appreciation for the character of the particular aggregate in which they reside. Thus the practice of encouraging civic pride has a consequential'^ justification. By the same token, the practice of thinking of ourselves as persons can be expected to have significant utility. Much of this stems from its facilitating such person-involving attitudes as anticipation and regret. Suppose that I, realizing that the action I now contemplate will result in future pain for me, am deterred through anticipating that I shall experience pain. Now there

is no further fact that makes it the case that the person who will feel that pain will be me; this fact just consists in the obtaining of certain relations among certain purely impersonal present and future entities and events. I do nonetheless have a special reason for refraining from the action, namely the fact that this is (typically) the best way to insure that that future pain does not occur. Because pain is bad, we all have a reason to try to prevent its occurrence; and in general I am better positioned than anyone else to prevent my own future pains. Existential dread may be unjustifiable, but a moderate degree of concern over one's anticipated future pain does have considerable utility.

Buddhist Reductionism thus has significant normative consequences. I claimed above that such consequences require ontological grounding, hence that reductionism is to be construed as a thesis about our ultimate ontology. It would be fruitful to examine how the Buddhist Reductionist proposes to determine the contents of our ultimate ontology. It is striking, for instance, that while sorites-induced difficulties are crucial to Parfit's argument against further-fact Non-Reductionism, sorites paradoxes play no role whatever in the arguments used to support Buddhist Reduction-ism. Indeed, the Indian tradition overall has no Chariot of Devadatta problem to answer the Ship of Theseus puzzle. Instead, in the texts of early Buddhism there is the expectation that we will simply agree that chariots are ultimately unreal, once it is pointed out that a chariot is an assemblage of parts. In later Abhidharma texts we can discern an argument against the existence of wholes in general, but this argument makes no use of the boundary-setting difficulties that the admission of partite entities presents us with. I would suggest, though, that this is not because Indian philosophers were simply ignorant of sorites phenomena. Rather, those Indian philosophers, the Naiyāyikas, who championed the existence of wholes went to

extraordinary lengths precisely to insulate their doctrine of complex substances from problems of indeterminacy.

Thus, Nyāya maintains that the addition or subtraction of a part from a given substance results in the destruction of that substance and the coming into existence of a new substance. And likewise for change in the arrangement of the parts, and for such qualitative changes as change of color, taste, odor, texture, and the like.[20] This position obviously rules out many of the sorts of spectra of indeterminacy that would otherwise plague the champion of complex substances. I know of no Nyāya text explicitly linking this position with the intention to avoid such difficulties. But I find it hard to imagine what else might motivate the adoption of such a counterintuitive view, particularly on the part of the eminently sensible Naiyāyikas. In any event, the Buddhist Reductionist was not given the opportunity to exploit sorites difficulties in arguing against persons and other such wholes; those difficulties had been anticipated by the opponent.

Now it would still be open to the Buddhist Reductionist to use sorites difficulties to argue against the existence of persons, since if these are to explain personal identity over time then they must be thought of as complex substances that endure through replacement of parts, qualitative change, and the like. (Nyāya accounts for personal identity over time by means of the continued existence of an impartite self, not through the continued existence of a person.) But rather than pursuing this strategy, they seek instead to show that partite entities in general must be thought of as mental constructions and are thus not ultimately real. But then the ultimate point of the sorites strategy as wielded by the reductionist about Ks is precisely to show that the Ks in question are just the result of human conventions, are a mere mental fabrication.[21] For genuine vagueness induces bivalence failure at many different levels: not only

is there a gray area where one may say of a given number of grains of sand neither that it is nor that it is not a heap; it is also indeterminate just where this zone of indeterminacy begins and ends in the heap spectrum.

Genuine vagueness is thus not the result of mere ignorance, something that could always be overcome by one sort or another of precisification. And for the metaphysical realist, it is inadmissible that mind-independent reality should in itself be the source of such indeterminacies. If mind-independent reality is to be the final arbiter of the truth of propositions, then reality itself must be fully determinate; any failures of bivalence in our theory about the world can only result from that theory's not having carved up reality at its joints–from our having used concepts and categories not wholly derived from the nature of mind-independent reality. To the metaphysical realist, sorites phenomena can only indicate an element of mental construction; it is this that makes such phenomena useful for reductionist purposes. The Buddhist Reductionist simply cuts to the chase–avoids discussing sorites phenomena and proceeds directly to the notion of mental construction.

The Buddhist Reductionist argument against the existence of real wholes–that is, for the conclusion that the partite is mentally constructed–is relatively simple and straightforward. Suppose we agree that the parts of, for example/the chariot are themselves real. If, in addition to the chariot parts, the chariot itself is thought to be real, then it cannot be said to exist distinct from the parts given that these are related to one another in the manner that results from their assembly. For there is no evidence for the existence of a chariot that is not just evidence for the existence of one or more chariot parts and their assembly relations; a distinct chariot is a superfluous posit. But neither can it be said that a real chariot is identical with the assembled chariot parts. For the chariot may be said to have n parts,

while the assembled parts may not be said to *have* n parts–they can only be said to *be n in number*. And if both chariot and parts are real, then the chariot must be either identical with or distinct from its parts. Those such as the Pudgalavādins who claim that the whole is neither identical with nor distinct from the parts are easily convicted of logical incoherence.[22] There still remains the possibility that the chariot is real while its parts are unreal. But the chariot is itself a part of a larger whole, namely the universe; if only wholes are real, there can only be one real thing. There would then arise seemingly insuperable difficulties in trying to account for the apparent utility of the myriad distinctions we routinely draw. We must conclude that only impartite entities are ultimately real; the partite is mentally constructed out of those impartite entities that regularly co-occur in ways that have a high degree of saliency for sentient systems like ourselves.

This is the reasoning behind the development of the various dharma theories of the Abhidharma schools. The dharmas are those entities that are contained in our ultimate ontology; and the argument tells us that they must be impartite. But this does not result in the sort of simpleminded Democritean atomism that one might expect. The universally agreed upon definition of a dharma is: that which bears its own essential nature (svabhāva). The basic thinking here is that all partite entities must borrow their essential properties from parts: the characteristic shape of the chariot is a function of the shapes of its parts, its utility as a means of transport is a function of various interrelations among its parts, and so forth. Thus, whatever does not borrow its essential properties from other things, but instead bears that nature as its own, must be ultimately real and not a mere mental construction. This approach has some important advantages. It gives a useful way to extend the partite/impartite distinction beyond what is spatially extended to

those psychological events that make up the so-called nāma skandhas. It thus becomes possible to think of a particular pain sensation, for instance, as impartite, and a complex emotional episode like an occurrence of jealousy as partite. It likewise opens the way to analyzing physical objects not into aggregates of indivisible atoms with determinate size, but rather into bundles of simple property particulars.[23]

Most importantly though, the svabhāva criterion of dharma-hood yields a uniform way of telling whether something is ultimately real or merely a mental construction: is it analytically findable, or does it dissolve upon analysis? Thus Buddhaghosha tells us that head hairs are mere conceptual fictions since they can be analyzed into color, shape, solidity, and smell; a particular smell, on the other hand, presumably remains as the terminus of any analysis, and is thus a dharma.[24] To borrow a Russellian distinction, conceptual fictions can be known by description, whereas dharmas can only be known by acquaintance. A description, of course, utilizes a combination of two or more concepts. Thus an element of aggregation must enter into the constitution of that which is represented as one thing yet can be known by description. And combination or aggregation is a mental contribution; all that is ever actually given in experience is co-occurrence. In pure acquaintance, on the other hand, the mind is wholly passive and receptive to the given. That which bears its own essential nature is free of all taint of mental construction; that which borrows its essential nature from what is other can only be a conceptual fiction, the product of an inveterate tendency of the mind to construct unreal aggregates.

This view depends, in the end, on the soundness of the Abhidharma argument described above for the conclusion that wholes are unreal. And some find that argument unpersuasive. It should be recalled, though, that sorites arguments can always be

constructed to try to show that a given sort of partite entity is conceptually constructed. And there is some reason to believe that such attempts will generally be successful. It is, for instance, relatively easy to show that complex organisms cannot be ultimately real, given the many indetefminacies that arise in connection with their continued existence as their parts are replaced. There is also a problem in supposing that a given organism has a determinate species membership, given that our species concepts are themselves fluid and responsive to a variety of pragmatic pressures. Indeed, philosophical discussions of "natural kind" terms tend to overlook the actual practice of biologists, chemists, and physicists in their use of these classificatory devices—not to describe unalterable regularities in nature, but to express those idealizations of observed tendencies that are necessary for purposes of theory construction. The actual data of the natural sciences provide fuel for countless sorites arguments against the ultimate reality of the various entities posited by mature sciences. Possible-worlds machinery yields another rich vein of sorites arguments, since this allows us to construct spectra of indeterminacy across worlds for any partite entity.

Thus there appears to be some reason for the Reductionist to embrace the sort of ultimate ontology described in the Abhidharma dharma theories. There is, though, one final step in the development of Buddhist Reductionist thinking about our ultimate ontology. This step seems not to have been taken by any of the classical Abhidharma schools, but only appears with the rise of Yogācāra-Sautrāntika in the work of Diṅnāga. It is the claim that what is ultimately real is just the svalakṣana, the ineffable pure particular. This radical nominalism results from the realization that the same considerations that militate against the existence of partite entities apply with equal force to allegedly real universal and resemblances. The relation between a universal and its instances turns out to be just

as problematic as that between a whole and its parts. And the universal is just as much the product of the mind's tendency to posit a one when it has collected together the many. Of course the Buddhist nominalist is faced with the daunting task of explaining the efficacy of our discursive practices, given that at least some of the terms of a language must be general.[25] But the Yogācāra-Sautrāntika responds to this challenge with the theory of apoha, according to which the meaning of "cow" is "not non-cow." Here the "not" is to be read as exclusion negation and the "non" as choice negation. The resulting formal model, and the psychological machinery that is said to instantiate the model, are together designed to explain how a speaker can learn to use "cow" to refer to just those particulars that other speakers of the language agree in calling cows, given that there is no cowness universal inhering in, or real resemblance shared by, those particulars.

At this point, those with Reductionist inclinations might begin to balk at the price being asked of them: an ultimate ontology of ineffably unique pure particulars, a two-level truth theory, and a radically nominalistic semantics. It must be borne in mind, though, that Reductionism is espoused because of its normative consequences, which require onto-logical grounding. And the notion of ontological grounding at work here is in turn based on metaphysical realist presuppositions. Coming to know the truth about what we are is supposed to change our views about how to live our lives precisely because we take "truth" to be correspondence to mind-independent reality. We will be inclined to transform our habitual modes of conduct only to the extent that we find them to stem from beliefs contaminated by elements of mental construction– by styles of thought that leave the mind free to project its desires onto the world. Reductionists must be metaphysical realists, and as metaphysical realists must seek to purge all elements of mental

construction from their ultimate ontology. Buddhist Reductionism is consistent and complete Reductionism.

NOTES

1. – See Stone 1988 and Giles 1993. Parfit now calls the Buddha's view "Eliminative Reductionism," which he distinguishes from his own view, now called "Constitutive Reductionism" (1995, pp. 16 f). For reasons that will become evident below, although I once described the view of early Buddhism and Abhidharma as a form of eliminative reductionism, I now see this as a mistake.

2. – Duerlinger (1993) represents both Vātsīputrīya and Prāsaṅgika Madhyamaka as holding Non-Reductionist positions. His evident sympathy for Candrakīrti's views would seem to suggest that he takes at least the Prāsaṅgika position on persons to be a defensible interpretation of the Buddha's view.

3. – I shall use "Reductionism" to refer to the view of persons and personal identity developed in Parfit 1984, and "reductionism" to refer to any theory that attempts to reduce entities of one sort to entities of a distinct sort. As shall soon become clear, not every reductionist about persons is a Reductionist.

4. – It might be thought that this commitment to the possibility of a completely "im-mob-ish" description places a severe constraint on the reductionist, in that such a description will necessarily omit just those elements that distinguish mob behavior from the behavior of individuals and small groups. But this is not so. Once we know all the facts about all the thoughts, feelings, and actions of each individual, we will have captured all the ways in which the actions of each affected the behavior of other individuals in the mob.

5. – At least not on any known version of the demonic-possession theory. If, however, such a theory had posited distinct types of demons for viral and bacterial pneumonia independently of the development of the germ theory, we might be more inclined to look for translation rules.

6. – Noncircularity is obtained through the use of a "Ramsey sentence" approach. See Shoemaker and Swinburne 1984, pp. 99 f.

7. – Swinburne (Shoemaker and Swinburne 1984, p. 27) represents all three authors as further-fact theorists. Noonan (1989, p. 19) takes them as representative of what he calls the Simple View, which is a form of the separately-existing-entity thesis.

8. – See *Kathāvatthu*, pp. 1–71, *Abhidharmakośabhāṭya* 9, pp. 462–463.

9. – While the *Milindapañha* appears to have been written during the period of Buddhist scholasticism (the Abhidharma period), and thus not during that phase of the Buddhist tradition commonly identified as the era of early Buddhism, the text appears sufficiently free of commitment to partisan Abhidharma scholastic positions as to seem better classified as early Buddhist. The episode in question is at II.2.1.

10. – This is the most natural reading of the Pāli, namely as denying both numerical identity and numerical distinctness, qua persons, of adult and infant. This and similar passages are, however, sometimes translated more simply by the phrase "neither the same nor different," which is then interpreted (e.g., by Collins [1982]) as involving an equivocation: neither qualitatively identical nor numerically distinct. Such a reading misses the connection between these passages and the Buddha's treatment of the "indeterminate questions" (avyākṛta), which he compares to such questions as, when a fire has gone out, in which of the four possible directions it has gone. One may sensibly deny that the fire has gone in any of these directions without equivocating on "gone to the north," and so forth. On the avyākṛta as involving bivalence failure, see Ruegg 1977.

11. – The notion of full translatability is somewhat problematic, since the full expression, in the privileged discourse, of certain conventional truths would seem to require strings of indefinite if not infinite length, and it is far from clear that such a string could count as a translation. In defense of the claim of full translatability, it could be said that our inability to produce or comprehend indefinitely long strings is a "mere practical difficulty," that is, only reflects human limitations and so does not represent a shortcoming in the analysis itself.

12. – It might appear unduly harsh to call all statements employing convenient designations false, rather than just potentially misleading. The Buddhist reductionist agrees that such convenient designations as "house" and "forest" are relatively innocuous. Our use of the term "person," though, regularly leads to the most dire consequences. Parfit makes a similar point about the term: "Though we need concepts to discuss reality, we sometimes confuse the two. We mistake conceptual facts for facts about reality. And in the case of certain concepts, those that are most loaded with emotional or moral significance, we can be led seriously astray. Of these loaded concepts, that of our own identity is, perhaps, the most misleading" (1995, p. 45). Parfit merely refrains from taking the next step: declaring all employment of the concept useful but false.

13. – Of course the Eliminativist cannot claim that it is conventionally false that there are persons, since the theory of persons is, as things now stand, accepted by common sense. Eliminativists can only advocate that the "folk theory" of persons be excised from

our common sense, and that our language be correspondingly revised. They do so on the grounds that acceptance of the theory leads to beliefs, desires, and actions that presuppose we are something extra; since we are not something extra, practical reason informed by this theory will inevitably encounter insuperable difficulties. See Stone 1988, pp. 525–530.

14. – This reluctance might be another factor that has led some to see sufficiently great differences between Parfit's Reductionism and the early Buddhist position as to classify the latter as Eliminativist. Early Buddhism (as well as Abhidharma) seems quite prepared to say what should go in our ultimate ontology–and that persons are not to be found there. This is not tantamount to Eliminativism, but the apparent contrast with Parfit's view might have led some to see it as such.

15. – It might be wondered whether, for example, the reduction of organic chemistry to quantum mechanics actually carries any normative weight. But the relative status of the disciplines of physics and chemistry seem to derive at least in part from the possibility of such reduction. The prestige of physics appears to stem in some measure from this notion that it approaches more closely to a grasp of reality undistorted by the limitations imposed by such factors as the scale of our sensory apparatus or our ability to track only so many particulars at once.

16. – Here is further evidence that the Extreme view E (see below) is inconsistent with Reductionism: the Extremist seems to hold that while I have no reason for concern about my future, I do have reason for concern about my present state. Presumably this is because that future person will not be me, but the present person is me. But it is ultimately false that that future person is not me and that the present person is me. Ultimately there are no persons. If there are any facts that explain the rationality of my concern for persons, these facts are only visible at the conventional level of truth.

17. – Parfit's view may have changed. He writes (1986, pp. 836–837) that while it is, on the Reductionist view, irrational to view personal identity as what matters, it is rational to care about the causal connections obtaining between, say, a person and that person's Replica. This would appear to rule out E as well as S. He does not, however, give any argument against E.

18. – Stone's (1988) argument for Eliminativism depends crucially on the claim that such attitudes are incoherent in the absence of the further fact that Non-Reductionism requires, hence that our theory of persons is incoherent given that there is no such further fact.

19. – For the Buddhist Reductionist the utility of the conceptual fiction of persons is, in the final analysis, soteriological: it is because we think of ourselves as persons that we seek to avoid suffering and thus are disposed to enter the Path to nirvana. See Collins 1982, p. 152. In this respect Buddhist Reductionism resembles those Indian Non-Reductionist systems (such as Sāṃkhya and Advaita Vedānta) that take liberation from suffering as the primary goal. Such systems commonly posit knowledge of self as necessary for

liberation, but then worry that the self, as subject of knowledge, cannot take itself as object of knowledge. The paradox is resolved by claiming that the self comes to know itself indirectly, namely by overcoming the error of misidentifying with some inappropriate category. Ignorance thus plays a crucial role in the soteriologies of these systems as well.

20. – See Ramaiah 1978, pp. 61–90.

21. – So Horgan (1994), for instance, after arguing that genuine vagueness is logically incoherent and hence impossible, seeks to reconcile this with the evidence for widespread vagueness in the empirical world, by claiming that while vagueness is impossible in mind-independent reality, it actually occurs in thought and language, where it possesses some utility and where the deleterious effects of its logical incoherence may be contained through various insulating strategies. This position seems to stem from a view that has long been advanced by Kenton Machina.

22. – See *Katthāvatthu*, pp. 3–71. Also see Ruegg 1977, pp. 34–36.

23. – This would appear to have been the tack taken by certain Sautrāntikas in their account of the rūpa dharmas. See *Vijñaptimātratāsiddhi* 14, where the opponent is a realist who rejects atomism yet holds that there are rūpa dharmas. Vasubandhu's arguments against this position in verse 15 make clear that the view in question analyzes physical objects into bundles of property-particulars devoid of substrate.

24. – *Visuddhimagga* XI.88.

25. – Indeed given that the svalaksana or pure particular is radically momentary, all the terms of a language will have to be general. For then a svalaksana is simply too evanescent to be dubbed. What we actually succeed in referring to through, for example, the use of a demonstrative, is always a series of "resembling" particulars. There can be no "logically proper names."

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John A. Taber The Mīmāṃsā theory of self-recognition

The defense of the self, that is, of a continuously existing individual self through time, is one of the more intriguing features of the Mīmāṃsā system. Besides posing formidable problems for the Buddhist opponents of the self theory, it is of direct relevance to the ongoing Western debate about personal identity. Śabarasvāmin (fifth century) and Kumārilabhaṭṭa (seventh century), the two Mīmāṃsā thinkers I shall treat here, develop a position which contemporary Western theorists of personal identity tend to overlook. Yet it is, at least, not patently untenable, and it appears to have been held by some of the earlier philosophers who treated personal identity. In this article I shall expound the Mīmāṃsā position—or, more exactly, one particular argument of that position which I believe to be of special interest—and then relate it to the Western discussion.

My purpose in this comparative study is twofold. First, I seek to understand the doctrine of the self as presented in the original Mīmāṃsā texts. To do so, one must achieve a *philosophical* understanding of the doctrine; one cannot interpret a text adequately—be it philosophical or medical or mathematical, and so forth—unless one understands in some measure independently of the text what it is about. Comparison of the presentation of a philosophical idea in one text with presentations of the same or similar ideas in other texts stimulates philosophical understanding of it, insofar as to comprehend something is to know to what it is similar and from what it is dissimilar. Cross-cultural comparisons often yield more varied contexts in which an idea, in various guises, is discussed, revealing more of its ramifications—as well as, of course,

relating it to the familiar. As Bhartṛhari notes, "insight attains clarity through the study of diverse traditional views" (*prajñā vivekaṃ labhate bhinnair āgamadarśanaiḥ—Vākyapadīya* 2.484). All this goes without saying for most of the readers of this journal, but there is no harm in repeating it. My second, subsidiary, purpose is to recover a lost argument from the history of Western philosophy. The study of another philosophical tradition often affords a philosopher new perspectives on types of reasoning that exist in his own but, for whatever reasons, have been forgotten or left undeveloped. The discovery of a more rigorous, or just somewhat different, formulation of an argument in another tradition can revive interest in it. Salvaged and refurbished, it can sometimes be made use of in contemporary discussion. Precisely such an argument, I believe, is that for the existence of the self, which I discuss in this article. However, I do not attempt to apply it in actually solving any aspect of the modern debate about personal identity. I am content here merely to identify it as prima facie relevant.

I

The Mīmāṃsā argument in question is developed from a certain Nyāya argument for the existence of the self. Śabara, in his discussion of the self in his commentary on *Mīmāṃsā Sūtra* 1.1.5, considers several Nyāya arguments and their criticisms. The last of these is none other than the argument expressed in *Nyāya Sūtra (NS)* 1.1.10: *icchādveṣaprayatnasukhajñānāny ātmano liṅgam iti*. This *sūtra* is by no means easy to interpret—the commentator Uddyotakara himself offers three ways[1]—but one reading of it, the one adopted by Śabara, is as follows: The existence of a continuously existing, substantial self can be inferred from the occurrence of desire, aversion, effort, and so forth, insofar as these states are directed towards objects that have been experienced to be pleasant or

unpleasant in the past. Now, the Naiyāyika assumes, one certainly cannot desire what someone else has experienced in the past. Therefore, in order for desire and so forth to occur, there must be one self existing continuously from the past to the present who both had the pleasurable experience of the object and desires it now. As Śabara and others who have discussed this argument make clear, it ultimately rests on the claim that one cannot desire a thing one does not *remember* (as yielding pleasure). And one cannot remember *someone else*'s experiences. For memory to occur there must be a single, continuously existing substance who both had the remembered experience and remembers it.[2] I shall, therefore, refer to this argument as the argument from memory.[3]

What is wrong with this argument? Why is the Mīmāṃsaka not content with it? Its weakness is just the premise that a memory of a past experience is possible only if there is a continuously existing substance that both had the experience and is now remembering it. For the Buddhists developed a plausible alternative account of memory. A person might not be a single substance existing continuously through time but a series of what, borrowing from contemporary philosophy, we might call person stages. Each person stage, consisting of various psychological and physiological factors (*skandhas*), lasts for only an instant, but as it passes away it gives rise to another person stage having important continuities with it. (A "person stage" as usually defined—a phase in the series of states and events which we ordinarily call a "person"—does not presuppose the existence of a continuous substance.) Memory, in this theory, would be the result of a chain of memory impressions (*vāsanās*) occurring in a series of person stages, initiated by an original experience occurring at person stage *A* and eventually giving rise to a memory experience (an experience similar to the original experience or having it as its object) at a subsequent person stage *Z*. Thus, the

Nyāya argument from memory is not conclusive (*anekānta*). Memory experiences might take place without a continuous, substantial self.[4]

The Mīmāṃsaka considers this criticism as valid. Kumārilabhaṭṭa maintains that Śabara, in discussing the various Nyāya-Vaiśeṣika arguments for the self, merely intends, by means of Buddhist objections, to point up their inadequacies.[5] He moves beyond all of them to adopt a uniquely Mīmāṃsā position, which the Buddhist is unable to assail. Here, as usual, the Mīmāṃsaka is asserting himself to be the only competent defender of the faith among orthodox Hindu thinkers. The irony here, as elsewhere (in the discussion of God's existence, the defense of the authority of the Veda, and so forth), is that he nearly ends up agreeing on more points with the Buddhist than with the other representatives of the Brahmanic tradition.

What, then is Śabara's argument? It is but a revision of this Nyāya argument from memory. That is, Śabara argues that a substantial self is made evident to us by the very notion 'I' (*ahaṃpratyaya*) as it occurs in memory. I quote now from the *Mīmāṃsāsūtrabhāṣya*:

When a thing has been seen on one day, the notion "*I* saw this" arises on a later day. And this [recognition] refers to an inner self (*pratyagātmani*), nothing else [that is, certainly, not to a collection of *skandhas*]. For the present [collection of *skandhas*] is different from the one that saw [the thing] earlier. Hence, there is something besides the [collection of *skandhas*] to which this word 'I' applies.... [Here,] we do not consider the *word* 'I' that we employ to be the means for inferring another thing [besides the *skandhas*]. Rather, we consider the *experience* of recognition (*pratyabhijñā*), which goes beyond the word (*śabdād vyatiriktam*) [to be the means of inference]. [So, one could not argue that no conclusion can be drawn from the

use of 'I' here because it is used only figuratively.] For this is the meaning we comprehend [when we employ this word]: "We perceived yesterday, we remember now." Therefore, we understand that we existed yesterday and we exist today. And those things which existed yesterday and exist today, they are not such as have passed away. [That is, they exist *continuously* from yesterday to today.][6]

The thrust of the argument is this: Memory establishes the existence of a continuous self not insofar as it *presupposes* a single subject of experience that both had the remembered experience and now remembers it, but insofar as it directly reveals one. For it is part of the content of many of my memories that *I*, who am now remembering, am the one who did or experienced the thing that is remembered. And that means that it is part of the content of many of my memories that I, who am remembering now, am identical with a thing—a subject of experience—that existed in the past. From this I infer that I have existed continuously through time. (Thus, technically, we still have to do with an inference. The ground of inference (*hetu*) is the recognition of myself as identical with a thing that existed in the past, the conclusion of my continuous existence through time.) Just as the establishing of any other object that exists now that it existed also in the past justifies the belief that it has existed continuously from the past to the present, so does the *recognition* of myself as a subject of experience in memory. We may refer to this as the argument from self-recognition.[7]

Kumārila adds very little to this. The *ātmavāda-adhikaraṇa* of his *Ślokavārttika* comprises only 148 *ślokas*, even though Śabara devotes considerable space to his discussion of the self. Kumārila may have thought the self a more appropriate topic for Vedānta than Pūrva Mīmāṃsā (thus, see the concluding *śloka* 148). Most of his effort

goes to establishing that the thing that is identified as 'I' is not the physical organism, including the mind and the senses. For the 'I' is an agent of knowledge (*jñātṛ*)—it is one who has *experienced* something in the past—and the physical organism is incapable of knowledge by itself. Nor can this recognized entity be a cognitive state (*jñāna*), as a (Yogācāra) Buddhist might argue. For cognitive states are fleeting. The same cognitive state that 'experienced' something in the past cannot be 'remembering' now. But one need not have gone to any length arguing for these things. They are immediately conveyed by Śabara's formula, if interpreted literally: the notion 'I' in memory refers to (or, "arises with respect to") an inner self and nothing else (*pratyagātmani caitad bhavati, na paratra*). The idea seems to be that I recognize myself as a distinct kind of entity, not as a body nor even as a subject of experience in general, for which the expression 'I' is required. The argument may, then, be seen to depend partially on another Nyāya view, namely, that the word 'I', insofar as it is a unique word different from the words 'body', 'idea', and so forth, requires a unique occasion for its use.[8] This is Hume's argument against the existence of a substantial self turned on its head: there *must* be some distinct impression corresponding to the notion 'I'; otherwise the notion would not occur. Moreover, Śabara adds, any collection of *skandhas*—including physical form, that is, the body and sense organs—changes over time. But in memory I recognize the same subject as my present self—I recognize *me*—not something just similar or related to me. That is, I recognize not just a distinct type of entity but a distinct particular.

From what I have said, the Mīmāṃsā argument for the self might be interpreted as a merely linguistic one: from the way we talk about things we infer the way things are. This is a notoriously unreliable kind of argument. Certainly, the way we talk does in some measure reflect our experience of the world, but not always nor in all respects.

But I believe that it would be a mistake to interpret the argument in this way. As I see it, in spite of its form as an inference, it amounts to the assertion that our way of talking about the self, specifically, the reference to ourselves in our memory reports as continuously existing and self-identical, is indeed an accurate expression of our experience.[9] Viewed in this way, the argument comes down to a direct appeal to a certain intuition which, if acknowledged, ought to settle the issue immediately. If one does not acknowledge it, on the other hand, then the dispute about the self is exposed as unresolvable. I, for one, am inclined to agree with the Mīmāṃsā analysis of memory. It at least seems truer to my experience than those accounts which suggest that when I remember something, I recall *some subject of experience or other* having undergone the experience. Rather, it seems to me that when I remember something, I do recognize *me* undergoing it. And that would seem to exclude my being a body or a cognitive state, which could under no circumstances be quite identical with the present body or cognitive state (especially when I am remembering something that took place long ago). In any case, in recognizing myself I do not, evidently, recognize a certain body or an idea. The Mīmāṃsā account also entails that whenever I have an experience, I am aware of myself having it. Otherwise, I could not later, in self-recognition, identify the subject of the experience as myself. Thus, the Mīmāṃsā analysis of memory experience—the claim that it entails a self-recognition—is supported in some measure by the widespread belief that when we know something, we know that we know it.

So far, in discussing the Mīmāṃsā argument from self-recognition I have, while pointing out various ways in which it relates to Nyāya ideas, gone along with the Mīmāṃsā claim that this argument constitutes an advance beyond Nyāya thought about the self. But is that really true? In the first *āhnika* of the third *adhyāya* of the *Nyāya*

Sūtra and its commentaries, we in fact find a discussion that comes very close to expressing the argument from self-recognition.[10] I now turn to this discussion with the purpose of futher clarifying the Mīmāṃsā point of view.

NS 3.1.1 reads: *darśanasparśanābhyām ekārthagrahaṇāt.* Vātsyāyana and Uddyotakara interpret this as an answer to the question whether, from statements such as "I see with my eyes," "I know with my mind," and "I feel pleasure and pain with my body," one can infer that there is a self that is distinct from mind, body, and senses. For such statements suggest that there is an agent that employs the senses, the mind, and the body in cognitive acts, and usually agent and instrument are distinct entities. The commentators explain, however, that it is possible that such statements merely express a relationship between part and whole; that is, they may be referring to a relationship, not between a particular faculty and some altogether different entity (a self), but between a particular faculty and the collection of all the faculties that constitute the physical organism (*dehādisaṅghāṭa*). (On this view we say, "I see with my eyes," just as we might say, "The house stands by means of its pillars.") The *sūtra*, then, responds to this possibility by asserting that there must be a distinct entity which employs these faculties as instruments in acts of cognition, "because one and the same object is apprehended by both [faculties of] seeing and feeling." Vātsyāyana elucidates: "The very same object which was [formerly] apprehended by the sense of sight is [now] apprehended by the sense of touch. [Thus, we express our experience by saying,] 'What I saw with my eye I now also feel with the sense of touch, and what I felt with the sense of touch I now see with my eye.' These two cognitions [of seeing and touching] are joined together (*pratisandhīyete*) as having the same object and the same agent; and they do not have an aggregate as their agent, nor is the sense organ [itself] the agent." The point is:

there must be some one entity distinct from any sense organ which both sees and feels the object. For one sense organ cannot perceive the object of another: an eye, for example, cannot feel. Nor could the *aggregate* of faculties be responsible for these acts of cognition, for it is *one* thing, not a group, that perceives the object on separate occasions. And, the aggregate consisting solely of various faculties, one would still have the absurdity of one faculty cognizing the object of another. Thus, Vātsyāyana concludes, "That [thing] which is the perceiver of the same object by means of [both] the eye and the sense of touch, which combines together the two cognitions which have the same object and the same agent but different efficient causes [that is, which are produced by different sense organs]—that is the self."[11]

Now this argument seems indeed very closely related to the Mīmāṃsā argument from self-recognition. It appeals to the same basic fact on which the latter turns, namely, that the same subject of experience who cognized something in the past may cognize that thing now. At *NS* 3.1.7 the term 'recognition' even occurs: *savyadṛṣṭasyetareṇa pratyabhijñānāt*. Vātsyāyana interprets this to mean that we know that there is a bearer of consciousness distinct from the body and the various faculties because we recognize with the right eye what we once saw with the left! If the right or left eye were the bearer of consciousness, this could not occur, for, once again, one faculty cannot recognize what has been experienced by another (the two eyes are here, oddly enough, being considered as distinct faculties).[12] Nevertheless, this argument does not appeal to the more specific fact on which the Mīmāṃsā discussion focuses, that the *self* is recognized. Self-recognition directly reveals the existence of the self in the past and the present. But in all the examples given of memory or recognition by Vātsyāyana it is objects of sense that are recognized or remembered, while the self is still

being *inferred*, essentially as in the discussion of *NS* 1.1.10, as the single entity continuous from past to present, which recognition and memory must presuppose. Moreover, the ultimate aim of *NS* 3.1.1 is only to prove that the self—whose existence as the continuous *pratisandhātṛ* (connector) of memories was, in fact, supposedly already established at 1.1.10—is an entity *distinct* from the aggregate of body and faculties. Thus, Vātsyāyana stresses examples that involve experiences of various kinds—for example, "What I *saw* in the past I am *touching* now"—where it is clear that a particular sense organ could not be the subject of the experiences. But for the Mīmāṃsaka the argument from self-recognition establishes only the *permanence* of the self. The explicit demonstration of a distinction of the self from the faculties is then carried out, it seems, as an afterthought, by a different method than that of Nyāya, namely, by appeal to the notion that a material organism and its faculties cannot be bearers of consciousness.

At *NS* 3.1.14, however, Vātsyāyana actually refers to the fact that every memory contains not just an awareness of an object previously experienced, but an awareness of the object *as* previously cognized by an agent of cognition: "This memory which occurs with reference to an object not presently apprehended, in the form 'I knew that thing'—the object of this memory is a previously known thing, qualified [as being known] by an agent of cognition [through] a process of cognition (*jñātṛjñānaviśiṣṭaḥ pūrvajñāto 'rthaḥ viṣayaḥ*), not just the thing."[13] Here, again, the context is the Buddhist theory of memory. The Buddhist has charged in the previous *sūtra* that the fact that a perception of an object by means of one sense can stimulate a memory relating to another sense—for example, that seeing a mango can cause one's mouth to water—cannot be adduced in support of the existence of a self which is distinct from the sense faculties (the argument would be basically the same as that

of 3.1.1 and 7: there has to be some third entity capable of perceiving the objects of both faculties); for the self, the Buddhist argues, is not part of the content of memory—only the sense object, the mango, is (*NS* 1.1.13: *na, smṛteḥ smartavyaviṣayatvāt*). Thus, it is reasonable to think that only the mango, experienced in a certain way in the past and now presently being perceived by some other sense, causes the memory; we have no evidence that a self has a role to play. Vātsyāyana then interprets *NS* 3.1.14 (*tadātmaguṇasadbhāvād apratiṣedhaḥ*, "Because of the existence [of memory] as a quality of the self, one cannot deny [the self]") as yet another expression of the idea that memory is possible only if it belongs to a continuous self, for one thing (faculty) cannot remember what another has experienced. But Vātsyāyana goes on to say that the Buddhist is also wrong in thinking that the object of memory is merely the thing that was previously experienced. Memories of an absent object in fact apprehend the object *as having been experienced in an act of knowledge by a knowing subject*. Thus, typically, we say something like, "I knew that thing," or, "That thing was known by me."[14] In memories with respect to an object at hand (*pratyakṣe 'rthe yā smṛtiḥ*...)—that is, in acts of recognition—more than one cognition pertaining to a single object are expressly attributed to a single subject: "I am seeing the thing I saw before." Thus, Vātsyāyana suggests, in memory a single self comes to the fore as a factor in several experiences.

Here, it seems, the Nyāya philosopher Vātsyāyana has gotten even closer to the fact that is central to the Mīmāṃsā discussion of the self, namely, that in recognition we ascribe various experiences to one and the same self; the past existence of a subject of experience is part of the content of memory. But he still stops short of saying that the *self* is *recognized* in memory. The object of recognition here is still some other thing. (Recall, on the other hand, how Śabara

formulates the fact of recognition: "*We* perceived yesterday, *we* remember now.") And Vātsyāyana is still appealing to our ascribing various experiences to a single self only as a basis for an inference to a self distinct from the body and the faculties: a particular *faculty* could not be the subject of various kinds of experiences; therefore it must be some other kind of thing. One way to appreciate the difference between the Mīmāṃsā and Nyāya approaches is to note that it can be asked precisely at this point of the Naiyāyika—as in fact the Buddhists did ask (and, as we shall see below, as Locke asked in his day): Granted that we do *ascribe* several experiences to one subject, how do we *know* that we have to do with the same subject in every case? How do we know that the entity we repeatedly experience as 'I' is the same in every cognition? For certainly it is conceivable that in different cognitions one has to do with qualitatively indistinguishable but numerically different things. The Naiyāyika has no answer to this question, but the Mīmāṃsaka answers it, in effect, by asserting that, indeed, we know that we have always to do with the same entity because we *recognize* it from cognition to cognition. Thus, the proof of the permanence of the self —that from moment to moment there exists only one subject of experience—is placed on a firmer footing.[15]

Note also that the basic Nyāya argument presented by *NS* 3.1.1 for proving the distinction of the self from the faculties is fallacious. It may well be that one sense organ cannot apprehend the object of another, but that does not rule out that a collection of various faculties could. In the case of an army, while it is certainly true that the artillery cannot charge and the cavalry cannot bombard, it is nevertheless the case that the army can both charge with its cavalry and bombard with its artillery; and no one believes that an army consists of anything more than its artillery, cavalry, infantry, and so forth. So, similarly, there seems no reason why a mere aggregate of

faculties, including a mind and various sense organs, could not think with its mind, perceive one kind of thing with one sense and another kind of thing with another, and yet be the *same* thing which performs each act. Thus, this kind of argument is inconclusive and fails to secure the distinctness of the self. Here, too, the Mīmāṃsā argument seems more fit for success insofar as it entails that, in self-recognition, we cognize the self directly as a single thing that remains identical over time. That rules out all other candidates which could undergo any measure of change, such as the body, mind, and sense faculties.

In the end, however, we must be aware that the Nyāya and Mīmāṃsā arguments are very closely related. If the Mīmāṃsaka 'discovered' the argument from self-recognition, he did so only by looking at the same facts to which the Naiyāyika had already called attention and giving them a slightly different twist—or perhaps, indeed, the Naiyāyika was originally introduced to those facts by the Mīmāṃsaka. In general, a comparison of these arguments demonstrates how Nyāya and Mīmāṃsā, at this stage in the history of Indian philosophy, developed in close interaction with each other.

It remains, before we move on to discuss Western parallels to the doctrine of self-recognition, to consider briefly the Buddhist response to the Mīmāṃsā position. This is to be found in Śāntarakṣita's *Tattvasaṅgraham* (*TS* 241–284). Śāntarakṣita, quoting Kumārila at length (some of the *kārikās* attributed to the Mīmāṃsā but not locatable or precisely matched in Kumārila's *Ślokavārttika* may well be from his longer, lost commentary on the *Śābarabhāṣya*, the *Bṛhaṭṭīkā*), directs most of his criticism against the Mīmāṃsā belief that the self is an eternal, essentially conscious entity that continues (essentially) unchanged throughout its various transformations (states of consciousness), as a snake remains the same in passing from a coiled to an uncoiled state (*TS* 223–225).

Śāntarakṣita asks, if consciousness is truly single and eternal, then how can a multitude of fleeting ideas appear within it (*TS* 241)? Moreover, if pleasure, pain, and so forth, as states of consciousness, are not altogether distinct from the self, then when they arise and disappear so must the self arise and disappear (*TS* 268). In short, the Buddhist, here as elsewhere, is unable to conceive of continuity through change; indeed, he argues that such a possibility is incoherent. "The snake becomes curved, etc., because it is subject to perpetual flux; if it had a permanent form, then, like the soul, it could never come by another state" (*TS* 274, Jha's translation, amended). With regard to the argument from self-recognition Śāntarakṣita argues in general—initially against the Naiyāyika—that neither the word 'self' (*ātman*) nor the word 'I' (*aham*) is a referring expression. 'Self' is only a conventional term for mind or consciousness (*citta*), which is a fleeting factor of the life-stream according to the Buddhist. It has no unique referent. Verbal usage being established merely by convention, words are often used to talk about nonexistent things (*TS* 204–206). Similarly, the word 'I' does not report a self-*perception*. No such thing as a self—having eternal consciousness, omnipresence, and so forth—is manifest to us when we employ that word. Were that the case, there would be no dispute about its existence (*TS* 212–216). These points then apply directly to the argument from self-recognition. Nothing is recognized when we think, "I am the one who experienced this in the past." For the notion 'I' is just an idea without any basis, originating from the beginningless tendency to ascribe (erroneously) substantive being to things (*TS* 275–284).[16]

It should be noted that the doctrine of the self-perceived character of cognitions (*svasaṃvedyatva*), crucial to Yogācāra epistemology, is not brought into this discussion. It is not appealed to as, say, the basis of an alternative analysis of self-consciousness. Although

Kumārila, as we saw, saw fit to deny that 'self-recognition' could be the cognizing of one (earlier) idea by another (later) idea, Śāntarakṣita does not take up the gauntlet over this. Rather, he simply relegates the *self*-consciousness that the Hindu philosopher has in mind—the awareness of a unique type of thing called 'self'—to the realm of delusion. Further below we shall have occasion to consider the Mīmāṃsā response to this maneuver.

II

I shall now attempt to show how the sort of view developed by the Mīmāṃsā philosophers—the doctrine of self-recognition in memory—fits into the Western discussion of personal identity.

The approach to the self in the West has been somewhat different from that of Indian philosophy. Indian thinkers have been primarily concerned with the soul or self, that is, whether there is a continuous, spiritual substance distinct from body, mind, and senses to which the word 'self' refers. Western philosophers, on the other hand, have been primarily concerned with the common concept of a 'person', specifically, with the identity of what we refer to as a 'person' through time.[17] The main question in the West has been: What is the (necessary and sufficient) criterion (or criteria) that determines two person stages to be stages of one person?[18] In recent times it has generally been held that this question can be answered without going into the problem of whether a person is a single, continuous substance; for most Western philosophers have taken for granted the (Buddhist) possibility that whatever relation between person stages makes them stages of one person could hold between entities that are distinct as substances. Nevertheless, at the beginning of the Western discussion of personal identity there was considerable debate about this issue, and it is this aspect of the discussion—which

of course relates more directly to the Hindu-Buddhist debate about the self—on which I shall focus. We shall see that it indeed has bearing on the more recent discussion of personal identity.

John Locke is generally credited with being the first to have proposed the memory criterion of personal identity. According to this criterion two person stages are of the same person if one contains memories of experiences that belong to the other. (In recent times this position has been developed by Paul Grice and Anthony Quinton.)[19] But, though most of what Locke writes is consistent with this view, it is important to see specifically why he held it. It does not appear that he held it because he believed in a version of the Nyāya argument from memory, that a memory and the past experience which is remembered require a single, continuous substratum from past to present which has both. Rather, Locke seems to have held the view that what makes an experience as of a certain person is that it is undergone with a consciousness of oneself as that person, and in cases of memory the present remembering and the past experience which is remembered are both experiences that, insofar as they are attributed to the same self, are undergone with the same awareness of self. "Wherever a man finds himself," Locke writes, "there, I think, another may say is the same person."[20] On the other hand,

in like manner, it will be in reference to any immaterial substance, which is void of that consciousness whereby I am myself to myself: if there be any part of its existence which I cannot upon recollection join with that present consciousness, whereby I am now myself, it is in that part of its existence no more myself, than any other immaterial being. For whatsoever any substance has thought or done, which I cannot recollect, and by my consciousness make my

own thought and action, it will no more belong to me ... than if it had been thought or done by any other immaterial being anywhere existing.[21]

Thus, for Locke, it is not just that an experience of a previous person stage is *remembered* at the present stage that determines both to be stages of one person, but that the experience of the previous person stage is remembered as having been accompanied by the same self-consciousness as accompanies the present person stage.[22] This should be kept in mind whenever the following passage, often cited as evidence that Locke subscribed to the memory criterion, is read:

   ... As far as any intelligent being can repeat the idea of any past action with the same consciousness it has of any present action; so far is it the same personal self. For it is by the consciousness it has of its present thoughts and actions, that it is self to itself now, and so will be the same self, as far as the same consciousness can extend to actions past or to come....[23]

Read consistently with his other statements, "the same consciousness" to which Locke refers is the same *self*-consciousness, the consciousness of the experience as being *mine*.

   Thus, it would appear that Locke is putting forward a verson of the doctrine of self-recognition in memory. But it is no more that than are the Nyāya arguments which take note of the fact that we typically ascribe several experiences, past and present, to one subject. The recurrence of self-awareness Locke has in mind is not a self-recognition. Rather, it seems that for Locke two person stages are of one self only insofar as they are each accompanied by a

consciousness which *imputes* them to one and the same subject—a feature of those experiences that need not correspond to any objective, physical or metaphysical, fact. Thus Locke, notoriously, was able to consider that this consciousness of self could be transferred from one substance to another. That two person stages are undergone with the same consciousness of oneself does not prove that they are of the same identical substance: "... It being the same consciousness that makes a man be himself to himself, personal identity depends on that only, whether it be annexed solely to one individual substance, or can be continued in a succession of several substances."[24]

   It was especially with regard to this point that Butler and Reid criticized Locke. They charged that he misconstrued the recurrence of "the same [self-] consciousness." It is not just a matter of being aware of two experiences as occuring together with the same self-consciousness or as ascribed to one self, but of *recognizing* the subject of the remembered experience as the present rememberer, as one would recognize any other object. Hence, there can be no question that the person is a thing that continues from past to present— that is, is a single substance. Joseph Butler attributes Locke's mistake to the fact that the *acts of self-consciousness* in different experiences are numerically distinct:

The ground of doubt, whether the same person be the same substance, is said to be this; that the consciousness of our own existence in youth and in old age, or in any two joint successive moments, is not *the same individual action*, i.e., not the same consciousness, but different successive consciousnesses. Now it is strange that this should have occasioned such perplexities. For it is surely conceivable, that a person may have a capacity of knowing

some object or other to be the same now, which it was when he contemplated it formerly; yet in this case, where ... the object is perceived to be the same, the same perception of it in any two moments cannot be one and the same perception.

And that is precisely what we have in the case of memory—two perceptions, one in the past and one now, of one self as the subject of certain experiences then and now:

... Though the successive consciousnesses which we have of our own existence are not the same, yet they are consciousnesses of one and the same thing or object; of the same person, self, or living agent. The person, of whose existence the consciousness is felt now, and was felt an hour or year ago, is discerned to be, not two persons, but one and the same person; and therefore is one and the same person.[25]

Here, at last, we really do have the doctrine of self-recognition in a philosopher other than a Mīmāṃsaka. Even more explicit is the presentation of Thomas Reid, who claims only to be following Butler. "How do you know," Reid asks, "that there is such a permanent self which has a claim to all the thoughts, actions, and feelings, which you call yours?" He replies:

... The proper evidence I have of all this is remembrance. I remember that twenty years ago I conversed with such a person; I remember several things that passed in that conversation; my memory testifies not only that this was done, but that it was done by me who now remembers it. If it was done by me, I must have existed at the time,

and continued to exist from that time to the present.... Every man in his senses believes what he distinctly remembers, and every thing he remembers convinces him that he existed at the time he remembered it.[26]

We need not be misled by Reid's choice of the word 'remembrance' instead of 'recognition'. To identify a thing as a thing that one is already acquainted with is, technically, in Indian philosophy, to recognize (*praty abhi* $^{\sqrt{j\bar{n}\bar{a}}}$) that thing, and that is what Reid is talking about (identifying the subject of a remembered experience as the present remembering self). His statement here is remarkably close to that of Śabara quoted in the first part of this article. As a final piece of evidence that the doctrine of recognition was held by these philosophers, I present another passsage from Butler where he, too, explains how one arrives at the permanence of the self from the fact of self-recognition:

Every person is conscious, that he is now the same person or self he was, as far back as his remembrance reaches; since, when any one reflects upon a past action of his own, he is just as certain of the person who did that action, namely himself, the person who now reflects upon it, as he is certain that the action was at all done.... And this he, person, or self, must either be a substance, or the property of some substance. If he, if person, be a substance; then consciousness that he is the same person, is consciousness that he is the same substance. If the person, or he, be the property of a substance; still consciousness that he is the same property, is as certain a proof that his substance remains the same, as consciousness that he remains the same substance would be; since the same property cannot be transferred from one substance to another.[27]

Both Butler and Reid emphasize that my remembering that I did something does not *make* me the one who did it (a view they attribute to Locke); rather, I am able to remember it because I was indeed the subject that did it in the past. Self-recognition does not constitute self-identity objectively; it is only the criterion for *ascertaining* whether two person stages are of one person.[28] Butler and Reid also stress that our awareness, by this means, of our identity with our past selves is more complete than for other objects. We recognize ourselves, as subjects of past experiences, always as precisely identical to ourselves now, not more or less identical as, say, a tree is to the sprout from which it grew. Reid attributes this to a person being a "monad," not divisible into parts, whereas other things change by parts being added, subtracted, or replaced. Hence, they suggest that the general concept of identity is actually based on the more specific notion of self-identity, as true identity does not pertain to other kinds of things.

In the passage from Reid cited above we find him asserting that "every man in his senses believes what he distinctly remembers." Here, another parallel to the Mīmāṃsā view emerges. Reid's statement relates to an obvious objection to the doctrine of self-recognition: Granted that one has a sense of self-recognition when one remembers oneself doing something in the past, how does one know that one has not made a mistake, that what one takes to be precisely oneself (then) is but some other entity closely resembling oneself (now)? (that is, one could have to do with two qualitatively indistinguishable entities which are able to cause, one in the other, states which give rise to memory experiences). This is similar to the question: How does one know that the bird one sees now sitting on a branch is the same bird one saw there a moment ago, not another bird with identical markings? Reid's answer to this, based on his

general discussion of memory, is that we are generally incapable of disbelieving what we distinctly remember, so that in an actual case, where one remembers that it was *oneself*, not someone else, who did such and such, the skeptical doubt simply does not come up. And that is as much as to say that our whole system of knowledge is based on accepting what memory presents to us definitively, without asking for futher evidence—otherwise we would get caught up in a regress. Butler puts the matter quite cogently:

Every person is conscious, that he is now the same person or self he was, as far back as his remembrance reaches; since, when any one reflects upon a past action of his own, he is just as certain of the person who did that action, namely himself, the person who now reflects upon it, as he is certain that the action was at all done.... But though we are thus certain that we are the same agents, living beings, or substances, now, which we were as far back as our remembrance reaches; yet it is asked, whether we may not possibly be deceived in it? And this question may be asked at the end of any demonstration whatever; because it is a question concerning the truth of perception by memory. And he who can doubt, whether perception by memory can in this case be depended upon, may doubt also, whether perception by deduction and reasoning, which also include memory, or, indeed, whether intuitive perception can. Here then we can go no further. For it is ridiculous to attempt to prove the truth of those perceptions, whose truth we can not otherwise prove, than by other perceptions of exactly the same kind with them, and which there is just the same ground to suspect; or to attempt to prove the truth of our faculties, which can not otherwise be proved, than by the use or means of those very suspected faculties by themselves.[29]

All this is parallel to Kumārila's discussion. Anticipating the Buddhist objection that the notion 'I' in self-recognition is without any basis, Kumārila asserts—rather dubiously—that it cannot be erroneous insofar as it is produced by a memory impression (*vāsanā*); for a memory impression always gives rise to an idea faithful to the experience that caused it (*ŚV* 124–125).[30] But, more cogently, he goes on to point out that the notion 'I' (in general, or specifically as it occurs in self-recognition?) is not overturned by a subsequent cognition (*ŚV* 125–126). (That is, applied specifically to self-recognition, one does not, subsequent to believing that one has recognized oneself as the subject of a previous experience, come to believe that the subject of that experience was not oneself but, say, merely something similar to oneself.) According to Mīmāṃsā epistemology, to consider a cognition invalid one must realize either that it does not present things as they really are, by having another cognition that contradicts it, or else that the faculty of knowledge that gave rise to it is defective. In short, the position of Butler and Reid harmonizes with the Mīmāṃsā theory of the intrinsic validity (*svataḥ prāmāṇya*) of cognitions. According to that theory, every cognition presents itself to us initially as true without requiring the evidential support of another cognition. Were the application of another means of knowledge required to establish the truth of any cognition, one would have a regress: the confirming cognition itself would require confirmation, and so on ad infinitum.[31] This is quite similar to the basic principle of Reid's general theory of knowledge, given expression by Butler in the passage above, that a belief grounded in perception (which for him includes memory) is innocent until proven guilty.[32]

The ideas of Butler and Reid about the self have not been completely lost in Western philosophy. Various contemporary philosophers have made use of them in various ways in the

discussion of personal identity. Thus, Sydney Shoemaker has argued —explicitly acknowledging a debt to Butler and Reid—that our identifications of ourselves as agents of past actions or the subjects of past experiences are "non-criterial." In saying, for example, "I broke the front window yesterday," one does not employ criteria in identifying oneself as the one who broke the window. If criteria were employed—if one consulted certain facts in a process of judgment leading to the conclusion that it was, indeed, oneself who broke the window—then it would also be possible *not* to come to that conclusion. And that, especially in a case where no one else is remembered as being present, would be absurd. Rather, Shoemaker suggests, one knows directly that it was oneself who broke the window without appeal to any criteria; for one remembers *oneself* breaking the window. With regard to another example, Shoemaker writes,

The sentence "I remember having a headache yesterday" [which, again, might suggest to some that I can first remember an experience and then meaningfully ask *who* underwent it, which question would then be answered by consulting criteria] does not differ in meaning from the sentence "I remember my having a headache yesterday." But if what I remember when I remember a past headache is *my having* a headache, or that *I* had a headache, my statement "I had a headache" is [just] a memory statement, not a conclusion *from* what I remember, and cannot be grounded on any criterion of identity.[33]

Shoemaker also specifically denies that one adduces the fact that *one remembers* the experience in question as a basis for judging that it was undergone by oneself, on the principle that one can only

remember what oneself has experienced. For that one remembers a past experience is not, from the first-person point of view, something contingent—a possible distinguishing feature of an experience which one can determine to belong to the experience by scrutinizing it. If that were the case, it would also be possible to determine of a past experience that one does *not* remember it, which would be absurd! So there is no room for employment of the fact that one remembers an experience as a criterion that it was undergone by oneself. Rather, one simply remembers oneself undergoing it. Thus, Shoemaker rejects the "memory criterion" of personal identity, as originated by Locke and revised by Grice: the fact that one person stage contains a memory of an experience occuring in another person stage is not something we appeal to as a *criterion* of their being the same person.[34]

Nevertheless, Shoemaker's position, in the end, is a far cry from the doctrine of self-recognition. For he denies that we ever have direct self-acquaintance or self-knowledge, which is clearly entailed by that doctrine. To *recognize* oneself one must be directly acquainted with oneself now and have been in the past.[35] Shoemaker believes, rather—influenced here by Wittgenstein—that we make statements about ourselves—ascribe perception and memory experiences to ourselves—noncriterially simply as a result of having been trained to make certain utterances in certain circumstances.[36] Thus, conversely, the doctrine of self-recognition represents a certain criticism of Shoemaker's position. If we do actually recognize ourselves in memory, then our use of 'I' is, although non-criterial, still in some way the expression of an act of self-apprehension.

More faithful to Butler and Reid is Geoffrey Madell, who in a recent book has called for the "vindication of the Reid/Butler view of personal identity."[37] Among other things Madell, building on

important work by Hector-Neri Castañeda, argues that the word 'I' is a true referring expression—clearly a presupposition of any theory of self-recognition.[38] Madell, too, however, ultimately diverges significantly from Butler and Reid. He does not pick up on their self-recognition thesis; in any case, it appears that he would not go along with it. Although he agrees that "personal identity through time is unanalysable; [that] what unites my experiences [makes them as of one person], whether they are simultaneous or spread over time, is just their being mine," he claims that this does not entail that there is a substantial ego.[39] But, as we saw Butler argue above, if there is self-recognition, then there is an *enduring* (substantial) self.

Perhaps closest to the ideas of Butler and Reid are the views of Roderick Chisholm. In his book *Person and Object*, Chisholm goes against Shoemaker in claiming that the use of the word 'I' does involve real self-knowledge, a direct acquaintance with one's individual essence or *haecceity*. Attributing something to oneself (for example, some mental state), according to Chisholm, involves being aware of one's own individual essence and seeing that the thing that has that essence (oneself) has a certain property (the state one is attributing to it). "I would conclude," he writes, "that I am able to individuate myself *per se*. I do so in virtue of my awareness of being this particular person. This awareness is a knowledge of propositions implying my individual essence or *haecceity* and is implicit in each of my self-presenting states [such as *my feeling a pain*]. Every such state is necessarily such that, if it obtains, then I am certain of my being this particular person."[40] Thus, Chisholm approaches a substance theory. But he, too, is unaware of the thesis of self-recognition as developed by Butler and Reid, which provides support for his view.

I have not attempted to defend the doctrine of self-recognition in this article, except to suggest that it is not patently untenable. My purpose has been merely to recover the idea, which today remains

largely obscured, from the history of philosophy. For even those who have recently worked out positions that are related to this doctrine seem not to have fully understood or appreciated it. I hope that its significance has in some measure been illumined by the comparison with Indian philosophy. At the same time, I hope that the references to Butler and Reid provide more to go by in understanding philosophically this doctrine as it is presented in the Indian texts.

Although, as I have brought out, the original thrust of the doctrine of self-recognition was to establish the permanent, substantial nature of the self or soul, its relevance to the contemporary debate about *personal identity*, as carried out in abstraction from the issue of substantiality, should be clear. In general, if there is a way of determining that there is a single, continuously existing self, then it ought to translate into a criterion for personal identity. Thus, if the doctrine of self-recognition is true—if we really do re-identify ourselves as the subjects of past actions and experiences—then my remembering *myself* to have done X in the past is a criterion (qua sufficient condition) for knowing that the person who did X was myself; and my identity over time would consist just in the experiences of my various person stages being experiences that *I* underwent. Moreover, if there is such a thing as self-recognition which identifies the self existing now as *strictly identical* with a self that existed before now, then we have reason to believe that a person is not a body or a mind (aggregate of psychological states), since those are things which undergo change over time. A body or mind existing now will not be strictly identical with any body or mind existing before now. Rather, a person must be some other, distinct kind of thing that persists essentially without change over time.

ABBREVIATIONS

MSBh   *Mīmāṃsāsūtrabhāṣya* of Śabarasvāmin, ed. E. Frauwallner,

in *Materialien zur ältesten Erkenntnislehre der Karmamīmāṃsā*, Österreichische Akademie der Wissenschaften, Philosophisch-Historische Klasse, Sitzungsberichte, vol. 259, Abhandlung 2 (Vienna, 1968).

NM   *Nyāyamañjarī* of Jayantabhaṭṭa, ed. K. S. Varadacharya (Mysore: Oriental Research Institute, 1983).

NSBh   *Nyāyasūtrabhāṣya* of Vātsyāyana, in *Nyāya Darśana*, ed. Taranatha Nyaya-Tarkatirtha and A. Tarkatirtha (Calcutta: Metropolitan Publishing House, 1936).

NV   *Nyāyavārttika* of Uddyotakara, in *Nyāya Darśana*, ed. Taranatha Nyaya-Tarkatirtha and A. Tarkatirtha (Calcutta: Metropolitan Pulishing House, 1936).

NVTṬ   *Nyāyavārttikatātparyaṭīkā* of Vācaspatimiśra, in *Nyāya Darśana*, ed. Taranatha Nyaya-Tarkatirtha and A. Tarkatirtha (Calcutta: Metropolitan Publishing House, 1936).

ŚV   *Ślokavārttika* of Kumārilabhaṭṭa, ed. Svāmī Dvārikadāsa Śāstrī, Prāchyabhārati Series, no. 10 (Varanasi: Tārā Publications, 1978) (*ātmavāda-adhikaraṇa* unless otherwise noted).

TS   *Tattvasaṅgraham* of Śāntarakṣita, ed. Svāmī Dvārikadāsa Śāstrī (Varanasi: Bauddha Bharati, 1961).

NOTES

1. Besides expounding at considerable length the interpretation I am about to consider via Śabara, Uddyotakara also mentions that the *sūtra* can be interpreted to mean that desire, etc., constitute the middle term (*liṅga*) in an inference to the existence of the self insofar as they are qualities which require a self as their substratum (*NV*, pp. 192,1. 10–193,1. 9). (See in this regard Arindam Chakravati, "The Nyāya Proofs for the Existence of the Soul," *Journal of Indian Philosophy* 10 (1982): 211–238, and Klaus Oetke, *"Ich" und das Ich: analytische Untersuchungen zur buddhistisch-brahmanischen Atmankontroverse*, Alt und Neu-Indische Studien, no. 33 (Wiesbaden: Franz Steiner Verlag, 1988), pp. 359–361. The latter work will be the definitive treatment of the Buddhist-Hindu debate about the self for some time to come.) A third interpretation mentioned by Uddyotakara (p. 192, II. 5–9) is as follows: the inner states of desire, etc., point to a single causal factor (= the self) that is involved in the occurrence of each of them. For they are all connected together (in one consciousness) by virtue of the memory of having been experienced "by me." Similarly, ideas or feelings arising in the minds of various spectators of a dance indicate a single factor in their origination—a particular gesture of the dancer—insofar as they are each accompanied by an awareness of the gesture. (Cf. Śāntaraksita's discussion of Uddyotakara's position, *TS, kārikās* 180 ff.) Vācaspatimiśra points out that this third interpretation renders the *hetu* of the argument an *anvayavyatirekī hetu*, whereas the favored first interpretation, which I consider here, involves a *kevalavyatirekī hetu*. Cf. Oetke, *"Ich" und das Ich*, pp. 355–359.

2. *MSBh*, pp. 52–54, and *ŚV, ślokas* 107–110.

3. Neither the *sūtra* nor Vātsyāyana in his *bhāṣya* refers explicitly to memory. Vātsyāyana talks only about the "connecting up" (*pratisandhāna*) of numerous experiences, which he believes indicates a single entity which connects them (*ekam anekadarśinaṃ pratisandhātāram*). (Jha's translation of *pratisandhāna* as 'recollection' seems too specific; cf. Ganganatha Jha, *The Nyāya Sūtras of Gautama, with the Bhāṣya of Vātsyāyana and the Vārttika of Uddyotakara* (Delhi: Motilal Banarsidass, 1984), vol. 1, pp. 217–218. For Kamalaśīla, commenting on *TS* 180, notes that *pratisandhāna* is simply the combining of various cognitions as a result of their having a common cause: *pratisandhānam ucyate yad ekam arthaṃ nimittīkṛtya pratyayānāṃ sambandhanam*. This cause may be simply the experience object. Thus, the cognitions of various spectators of a dance are "connected" (*pratisandhīyante*) through their common experienced object, the dance. See note 1 above; see also Vācaspatimiśra, *Yogasūtrabhāṣyavaiśāradī* 4.15: *abhedaś cārthasya jñānabhede 'pi pramātṛṇāṃ parasparapratisandhānam avasīyate. asti hi raktadviṣṭavimūḍhamadhyasthānām ekasyāṃ yoṣiti pratīyamānāyāṃ pratisandhānaṃ yā tvayā dṛśyate, saiva mayāpīti.*) But Uddyotakara clarifies, at the outset of his *Vārttika* on 1.1.10, that desire, etc., indicate a substantial self insofar as they occur as "having a single object, together with memory": *yasmād evecchādayaḥ smṛtyā sahaikaviṣayā bhavanti tasmād ekakartṛkatvaṃ pratipādayanti* (*NV*, p. 185, II. 8–9). That is to say, my present desire and a certain past experience are united not just insofar as they concern the same object, but insofar as *I remember* that the thing I desire now is of the sort I experienced to be a cause of pleasure in the past. This formulation is designed to obviate the Buddhist objection that one has to do here merely with a relation of cause and effect between discontinuous,

selfless entities: an experience gives rise, as it were, mechanically, to a desire having the same content, as a seed eventually gives rise to a similar seed (via the growth of a fruit-bearing tree). But the Naiyāyika thinks that memory necessarily brings a single, continuous self into the picture: I cannot *remember* something that someone (or something) else has experienced (see *NV* aṇd Vācaspati's *NVTṬ*, pp. 187–189). Śabara and Kumārila, interestingly, try to do justice to an argument from desire that is logically distinct from an argument from memory, but their efforts are unconvincing (see *MSBh*, p. 54, and *ŚV* 103–105).

Note that if one approaches *NS* 1.1.10 from this angle—i.e., as indicating the self as the element that connects several interrelated states over time—the order of the terms in the compound (still a *dvandva*) may be significant. That is, the compound could be referring to a single series of connected experiences which characterize human action: *desire* or *aversion* towards certain things experienced in the past give rise to the *effort* to obtain or avoid them, which is followed by the *experience of pleasure (sukha-jñāna)* or the *experience of pain (duḥkhajñāna)* from obtaining the desired or unwanted thing (or else: the *pleasure* and *pain* resulting from *effort* are followed in turn by recognition (*jñāna* = *pratyabhijñāna*) of the thing). Vātsyāyana, however, does not consider the compound as referring to one series in this way. He separates off *jñāna* as referring back to something one was previously curious about, not something desired or unwanted.

4. In Buddhist texts we encounter this theory, e.g., in essence, in the *Abhidharmakośa* discussion of the *pudgalavāda* (ed. P. Pradhan (Patna: Jayaswal Research Institute, 1975), pp. 472–473). The alternative Buddhist theory of memory is mentioned by Kumārila (*ŚV* 104–105). Śabara's rejection of the memory argument is actually much cruder, to wit (in essence): "Who says memories cannot take place without a permanent self? For we observe memories to occur. What we do not observe, on the other hand, is a self. How can you say that what we observe is impossible, but what we do not observe must exist?" (*MSBh*, p. 54). This is certainly very thin! Since Kumārila recognized the Buddhist rejection of the argument from memory to be based on an alternative account of memory in terms of *vāsanās*, it is puzzling why he does not discuss the strenuous efforts of the Naiyāyikas to refute the theory of *vāsanās* in this connection. (Certainly Kumārila was not merely deferring to the Bhāṣyakāra; he has no qualms about correcting him elsewhere.) Thus, Uddyotakara (ad *NS* 1.1.10) criticizes the Buddhist view on the basis of the impossibility of a *vāsya-vāsaka* relationship between momentary entities (see Oetke's critical evaluation of Uddyotakara's argument here, "*Ich*" *und das Ich*, pp. 347–352). Kumārila himself appeals to this same idea in his *nirālambana-adhikaraṇa* (*ślokas* 178 ff.) and, with respect to the problem of the continuity of *karman* and the fruit of *karman*, even in the *ātmavāda-adhikaraṇa* (44 ff.). But he never applies it to salvaging the Brahmanical theory of memory.

5. *ŚV* 92.

6. *MSBh*, p. 56: *anyedyur dṛṣṭe 'paredyur "aham idam adarśam" iti bhavati pratyayaḥ. pratyagātmani caitad bhavati, na paratra. paro hy asau yo 'nyedyur dṛṣṭavān. tasmāt tadvyatirikto 'nyo 'sti, yatrāyam ahaṃśabdaḥ ... na vayam "aham" itīmaṃ śabdaṃ prayujyamānam anyasmin arthe hetutvena vyapadiśāmaḥ, kiṃ tarhi śabdād vyatiriktaṃ*

pratyabhijñāpratyayam. pratīmo hi vayam imam arthaṃ "vayam evānyedyur upalabhāmahe, vayam evādya smarāma" iti. tasmād vayam imam artham avagacchāmo "vayam eva hyo, vayam evādya" iti. ye cāmī hyo 'dya ca, na te vinaṣṭāḥ.

7. I have tried consistently to interpret this self-recognition as having as its object the subject of the remembered experience. That is, in this recognition, the (past) subject of the remembered experience is identified or 'recognized' as one's present self. This is in harmony with the formulations of Śabara—*anyedyur dṛṣṭe 'paredyur "aham idam adarśam" iti bhavati pratyayaḥ* (passage cited in previous note)—and Kumārila (*ŚV* 115):

> *yadi syād jñānamātraṃ ca kṣanikaṃ jñātṛ tatra vaḥ* ।
>
> *na bhavet pratyabhijñānaṃ pūrvajñātari samprati* ॥

However, this is also somewhat problematic in that recognition is usually defined as the identification of a presently existing thing as something previously experienced (*pūrvajñānaviśiṣṭārthagrāhitvaṃ pratyabhijñāyāḥ, NM*, vol. 2, p. 310, l. 9; *atītāvasthāvacchinnavastugrahaṇam, Tarkabhāṣā*, etc., cited in M. Bhimacarya Jhalakikar, *Nyāyakośa* (Poona: Bhandarkar Oriental Research Institute, 1978), p. 543). Thus, *pratyabhijñā* is usually formulated: *sa eva ayaṃ ghaṭaḥ*, "This pot is indeed *that* one [which I saw before]." Apparently the Mīmāṃsakas were not particularly concerned about whether self-recognition in memory fits precisely the definition of recognition. What they stress is that in self-recognition (however it is to be analyzed) we become aware that "I existed then and I exist now." Thus Śabara in the passage above (note 6) and Kumārila, *ŚV* 116: *jñātavān aham evedaṃ pūredānīñ ca vedmyaham*.

8. See *NV* ad *NS* 3.1.1, pp. 706–707.

9. In this way, too, Mīmāṃsā parallels Nyāya; for the latter generally argues that the use of the word 'I' corresponds to a self-perception. See *NV* 3.1.1, pp. 704–705.

The Nyāya author Jayantabhaṭṭa, however, rejects this view, which he identifies as held both by Mīmāṃsakas (*aupavarṣāḥ*) and some other Naiyāyikas (*sāyuthyāḥ*) (*NM*, vol. 2, pp. 268–278). The true Nyāya position, according to Jayanta, is that the existence of the self is only inferred. His basic objection to the view that 'I' refers to the self is that it implies that the self is both agent and object in an act of knowledge (*naikasyāṃ pratītāv ātmanaḥ kartṛtā karmatā ca syātām*, p. 271). If 'I' refers to anything, he argues, it refers only to the body. (He also considers the possibility that it is a mere word referring to nothing (*sabdamātroccāraṇam*).) Jayanta also rejects the view—perhaps known to him more from the writings of the Kāshmīrī Śaiva philosophers than the Advaita Vedāntins—that the self is self-luminous consciousness (*citiśaktisvabhāvam aparasādhanam*), for he denies that the self is essentially conscious:

> *sacetanaś citā yogāt, tadyogena vinā jaḍaḥ* ।
>
> *nārthāvabhāsād anyad dhi caitanyaṃ nāma manmahe* ॥

("[The self] is conscious due to connection with consciousness; without such connection it is insentient. For we do not conceive of any consciousness that is not the manifestation of

an object" (p. 275)).

Jayanta characterizes the Nyāya position he opposes as the view that the self would already have to be known by perception in order to be inferred—and then any inference would be unnecessary. That the self thus becomes an object of knowledge for itself should pose no problem:

> *tatrānumānajñānasya yathātmā yāti karmatām* ।
>
> *tathāhaṃpratyayasyaiṣah pratyakṣasyāpi gacchatu* ॥
>
> *dehādivyatiriktaś ca yathā liṅgena gamyate* ।
>
> *tathāhaṃpratyayenāpi gamyatāṃ tadvilakṣaṇaḥ* ॥

("Just as the self becomes the object of inferential knowledge, let it be the object of perceptual knowledge in the form of the 'I' concept! As something distinct from the body, etc., is known via an inferential mark, let the self be known as distinct from the body, etc., via the 'I' concept!" (p. 276)). Also, the opponent asks, how could present and past experiences be assigned to one knower—which is the basis of the Nyāya inference to the existence of the self—if one did not have awareness of the self as the subject of thought throughout those experiences? But, then, the self is already given; it need not be inferred:

> *jñānecchāsukhaduḥkhādi khiledaṃ liṅgam ātmanaḥ* ।
>
> *ekāśrayatayā jñātam anusandhātṛbodhakam* ॥
>
> *tathātvena ca tadjñānam āśrayajñānapūrvakam* ।
>
> *jñāte tatrāphalaṃ liṅgam, ajñāte tu na liṅgatā* ॥
>
> *tasmāt pratyakṣa evātmā varam abhyupagamyatām* ।
>
> *vṛddhāgamānusāreṇa saṃvidālokanena ca* ॥ (pp. 277–278)

In answer to this, Jayanta proceeds to show how the self is inferred by the classic Nyāya *kevalavyatireki anumāna*—*without* prior acquaintance with the self. A study of Jayanta's treatment of the self would be of much merit.

10. My thanks to B. K. Matilal for drawing this to my attention.

11. *NSBh*, pp. 710–712.

12. See Vātsyāyana's bizarre discussion of *NS* 3.1.7 concerning the distinctness of the right and left eyes as faculties.

13. *NSBh*, p. 734.

14. *NSBh*, pp. 734–735.

15. The difference between the Nyāya and Mīmāṃsā positions that I have sought to develop here is contained, essentially, in Kumārila's *śloka* 109:

> *smaraṇapratyabhijñāne bhavetāṃ vāsanāvaśāt* ।

anyārthaviṣaye, jñātuḥ pratyabhijñā tu durlabhā ॥

This asserts that recognition and memory can be explained in terms of *vāsanās*, without appeal to a self, when it is some other object which is remembered or recognized, but not when it is the self that is recognized.

16. Technically, Śāntarakṣita refers back to the formulation of the Mīmāṃsā argument, in *TS* 238–239 (= *ŚV* 136–137), as follows: "The knower (*jñātṛ*) apprehended in a past 'I' awareness (*vyatītāhaṃkṛtigrāhya*) continues in the present, since it is comprehended by the [same] notion 'I', like the present knower (*idānīntanabodhṛvat*)." I.e., we know that the cognizer of a past experience exists now, because it is referred to by the word 'I,' just as the present cognizer. But, Śāntarakṣita argues, this argument is without a valid *dṛṣṭānta*. No present cognizer is refered to by the word 'I', for the word has no basis! Hence the argument fails. See especially *TS* 283–284, together with Kamalaśīla's commentary.

17. This is, of course, a simplification. Some Western philosophers take the expressions 'person' and 'soul' to be synonymous (e.g., Anthony Quinton, "The Soul," *The Journal of Philosophy* 49 (1962): 393–409).

In Indian philosophy an important secondary consideration is the nature of the self: is it individual or universal—i.e., are there multiple selves or only one; is it essentially conscious or not or, indeed, is it consciousness itself?

18. A 'person stage' is defined by John Perry as a set containing all person-events—whether physical or mental or both—which are held to comprise a given person at a given time (see his *Personal Identity* (Berkeley: University of California Press, 1975), p. 9). A 'criterion' in the discussion of personal identity is either the ground by which we judge two person stages to be one person or else the feature that objectively constitutes their being such. Perry likens a person stage to the inning of a baseball game. The question, what criterion or criteria establish two person stages to be of one person, is analogous to the question of what criteria establish two baseball game innings to be innings of the same baseball game.

19. H. P. Grice, "Personal Identity," *Mind* 50 (1941), reprinted in Perry, *Personal Identity*, and Anthony Quinton, "The Soul," also reprinted in Perry.

20. John Locke, *An Essay Concerning Human Understanding*, ed. A. C. Fraser (Oxford: Clarendon Press, 1894), vol. 1, pp. 466–467; see the rest of sec. 26.

21. Ibid., p. 465.

22. This ties in with Locke's definition of a person as "a thinking intelligent being, that has reason and reflection, and can consider itself as itself, the same thinking thing, in different times and places; which it does only by that consciousness which is inseparable from thinking, and, as it seems to me, essential to it: it being impossible for any one to perceive without perceiving that he does perceive" (ibid., pp. 448–449).

23. Ibid., p. 451.

24. Ibid., pp. 450–451.

25. Joseph Butler, *The Analogy of Religion* (New York: Carter and Brothers, 1936), pp. 299–300. Howard M. Ducharme has recently demonstrated that the position I discuss here in relation to Butler and Reid was first set out by Samuel Clarke: "Personal Identity in Samuel Clarke," *Journal of the History of Philosophy* 24 (1986): 359–383.

26. Thomas Reid, *Essays on the Intellectual Powers of Man* (Cambridge, Massachusetts: MIT Press, 1969), p. 341. Cf. also p. 326: "The remembrance of a past event is necessarily accompanied with the conviction of our own existence at the time the event happened. I cannot remember a thing that happened a year ago, without a conviction as strong as memory can give, that I, the same identical person who now remember that event, did then exist."

27. Butler, *Analogy of Religion*, pp. 302–303.

28. Cf. Reid, *Essays*, p. 359: "It is very true, that my remembrance that I did such a thing is the evidence I have that I am the identical person who did it. And this, I am apt to think, Mr. Locke meant: but to say that my remembrance that I did such a thing, or my consciousness, makes me the person who did it, is, in my apprehension, an absurdity too gross to be entertained by any man who attends to the meaning of it: for it is to attribute to memory or consciousness, a strange magical power of producing its object, though that object must have existed before the memory or consciousness which produced it."

29. Butler, *Analogy of Religion*, pp. 302–303. In view of this and other passages it is puzzling that Butler and Reid have been considered critics of the memory criterion of personal identity *on the grounds that it is epistemically circular*—i.e., that memory is evidence for an event only if it is veracious, whereas our confidence that memory in a particular case is veracious must be based on our already knowing by some other means that the event actually occurred. Terence Penelhum, "Personal Identity," in *Encyclopedia of Philosophy* (New York: Macmillan, 1967), vol. 6, p. 98, mentions Butler as the originator of this argument, referring to the oft-cited passage (Butler, *Analogy of Religion*, p. 298): "... consciousness of personal identity presupposes, and therefore cannot constitute, personal identity, any more than knowledge, can constitute truth, which it presupposes." Here, however, Butler is merely making the same point as Reid in the passage cited in the previous note, that memory does not *make* someone the same person. For both Reid and Butler, memory—i.e., self-recognition—provides indisputable evidence of personal identity (one's identity with a previous person stage), but it cannot constitute personal identity. The latter must already exist as a fact for memory to enable us to ascertain it.

30. The Buddhist response to this is, first, to imply that a memory impression (*vāsanā*) can indeed be a cause of error: Kumārila himself, Śāntarakṣita charges, holds that the various notions about God—that he is creator of everything, omniscient, etc.—conceived by devotees of God are merely errors rooted in *vāsanās* (?; *TS* 282; I am unable to locate anywhere in the *ŚV* where Kumārila makes such a claim). Of more consequence is a general critique of *pratyabhijñā* as a *pramāṇa*, presented in *TS* 444–460, in the context of the discussion of the theory of the momentary existence of entities. The Mīmāṃsaka holds that the recognition of objects from the past directly refutes the *kṣaṇabhaṅgavāda*. Śāntarakṣita

defends it by charging that *pratyabhijñā*, recognition, cannot be considered a *pramāṇa* qua perception, for it is conceptual (*TS* 446) (whereas according to the Buddhist definition of perception it must be void of concept, *kalpanāpoḍha*, the reality of things being inexpressible), and it is (sometimes) erroneous: e.g., people believe they 'recognize' hair or grass that is actually new hair or grass that has grown back after being cut (*TS* 447, 450; see *Pramāṇavārttika, pratyakṣapariccheda* 503–505 (Varanasi: Bauddha Bharati, 1968)). Moreover, *pratyabhijñā* simply re-cognizes an object that was previously known by another means of knowledge, as does memory. Thus, it does not function as the most effective factor in the cognition of the thing, and so is not a *pramāṇa* (*TS* 451; Kamalaśīla clarifies that this argument appeals to the notion of a *pramāṇa* as the *sādhakatama-kāraka* in the production of a cognition; cf. *Pramāṇavārttika, pratyakṣa* 506). The reader is invited to peruse for him- or herself Kumārila's response, *TS* 452–456 (again, these *kārikās* are not identifiably from the *ŚV*), and Śāntarakṣita's reply, *TS* 457–460. In essence, Kumārila argues that *pratyabhijñā* is a valid means of knowledge, a *pramāṇa*, qua perception. The debate about *pratyabhijñā* is also carried on in the *Nyāyamañjarī*. Contra Mīmāṃsā, Jayanta does not believe that recognition establishes the permanence of letters and words (*NM*, vol. 1, pp. 554–557), but, now with the Mīmāṃsaka but against the Buddhist, he believes that other kinds of objects are indeed recognized (*NM*, vol. 2, pp. 307–314, 328–335).

31. Another interpretation of this idea (that of Umbeka, an early commentator on the *ŚV*) is that the validity of a cognition is produced just by the factors—object, sense faculty, etc.—that produce the cognition: "the causes of the cognition bring about validity" (*tasya* [*prāmāṇyasya*] *jñānahetava evotpādakāḥ, Ślokavārttikavyākhyātātparyaṭīkā*, ed. S. K. Ramanatha Sastri (Madras: University of Madras, 1971), p. 53, ll. 25–26). If, explains Pārthasāthimiśra in his discussion of this view in his *Nyāyaratnamālā* (ed. Ramanatha Sastri, Gaekwad Oriental Series, no. 75 (Baroda: 1937), p. 48), the faculty of cognition, etc., could produce a valid cognition only if endowed with some excellence (*guṇa*) (the Nyāya view), then there would be no validity at all to cognitions arising from defective faculties, etc. But even the cognition of a yellow conch produced by a jaundiced eye has a correct aspect—the 'conch' aspect. Thus, every cognition, insofar as it merely arises from "its own cause" (*svīyāt kāraṇāt*), i.e., from the factors that produce the cognition itself, has some truth to it. And a cognition that arises from factors that are free of defects will be completely true. (Pārthasārathi, however, goes on to dispute that this is a correct interpretation of Kumārila's statements on *svataḥ prāmāṇya*).

32. A definitive study of the *svataḥ prāmāṇya* doctrine has yet to be written, but much useful information about it is contained in L. Schmithausen, *Maṇḍanamiśra's Vibhramaviveka*, Österreichische Akademie der Wissenschaften, Philosophisch-historische Klasse, Sitzungsberichte, vol. 247, Abhandlung 1 (Vienna, 1965). See, e.g., pp. 189–201. This doctrine is of great relevance to contemporary epistemology. See, e.g., the attempt by Nicholas Wolterstorff to revive Reid's epistemology in the service of the anti-evidentialist defence of theistic belief: "Can Belief in God Be Rational?" in *Faith and Rationality*, ed. A. Plantinga and N. Wolterstorff (Notre Dame, Indiana: University of Notre Dame Press, 1983).

33. "Personal Identity and Memory," in Perry, *Personal Identity*, p. 126.

34. Sydney Shoemaker, *Self-Knowledge and Self-Identity* (Ithaca, New York: Cornell University Press, 1963), pp. 162–164.

35. On self-acquaintance see *MSBh*, pp. 56–58; *ŚV* 142. The Mīmāṃsā position is that the self is known or revealed by itself (*svasaṃvedya; ātmanā prakāśya*). This poses a certain problem for the Mīmāṃsaka, however. He wishes to deny, against the Buddhist idealist, that cognitions (*jñāna*) can experience themselves; for one thing cannot function both as subject and object (*karman*) in the same act. Thus, one thing cannot be both perceiver (*grāhaka*) and perceived (*grāhya*) in an act of cognition. But then how can the *self* know itself without violating this principle? Kumārila's answer, offered at *ŚV, śūnyavāda* 68–71, is obscure. I decipher it as follows: The cognition (*jñāna*) by which the self knows itself is a property (*dharma*) of the self, while the self is known as "substance, etc." (*dravyādi*). Thus, we do not really have a case of the same thing knowing itself. Rather, we have one aspect of a thing knowing another aspect of the thing. But even if one assumes that in the case of the awareness 'I' one has to do with a cognition knowing itself (*jñānasyaiva … saṃvittiḥ … ātmakartṛkā*), that would be permissible here, since the consciousness of 'I' arises with respect to an agent factor (*kartari bhavantī*); i.e., it has as its content the knower (*jñātṛ*), which conceivably could be the cognition (s. 70, according to Pārthasārathi's commentary). But that is not permissible for any other kind of cognition—a cognition of blue, e.g., since one is only aware of the object 'blue'. In other cognitions one is not aware of the knower.

36. Shoemaker, *Self-Knowledge and Self-Identity*, pp. 239–243. Note, however, that Shoemaker develops a rather different account of the non-criterial nature of self-identification in his later article, "Persons and Their Pasts," *American Philosophical Quarterly* 7 (1970): 269–285.

37. Geoffrey Madell, *The Identity of the Self* (Edinburgh: The University Press, 1981); see especially pp. 122–127.

38. Ibid, chap. 2, pp. 23–48.

39. Ibid, pp. 124, 134–138.

40. Roderick Chisholm, *Person and Object* (La Salle, Illinois: Open Court Publishing Co., 1976), p. 37.

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I Touch What I Saw

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> "Like a viewer standing behind many windows there must be someone the same who sees both"
>
> —Praśastapāda[1]
>
> "...if only a person can have illusions it cannot be an illusion that some person exists."
>
> —Geach[2]
>
> "As long as the idealist stands unrefuted, not even the external world exists, so where is the place for the self?"
>
> —Udayana[3]
>
> "What would this whole play be without an onlooker?"
>
> —Frege[4]

0. Introduction: Real ism-links

Realisms about the self and about the external world entail each other. And both realisms derive support from the plain fact of perceptual re-identification of objects across times and senses. That is going to be the major contention of this paper.

The Berkeleyan view that there is an abiding ego undergoing subjective states but no material objects for these states to focus on will be shown to be inconsistent. Equally incoherent, I shall argue, is the Parfitian view that there are more or less persistent material objects, e.g., buildings in Venice and hemispheres of brains, and also experiences and thoughts about them but no stable owners of those

states of consciousness. A reductive anti-realism about selves will logically commit us to a similar diffusion of material bodies into their secondary qualities, and of those, in turn, to subjective experiences and expectations. If we are afraid of such idealisms we should better not flirt with such "self"-lessness.

That seems to leave us with only two alternatives: Either embrace dualism, i.e., a full-fledged realism about substantial selves and material bodies or adopt a kind of radical empiricism reducing both egos and objects to nebulous aggregates of twilight qualities. Nyāya and Descartes took the first option. Buddhists and James went for the second. Perhaps there are other more drastic revisionary alternatives. The views I consider all accept the reality of thoughts or experiences—the common middle ground uncontroversial across the board for a dualist, idealist, no-soul-ist, radical empiricist or even Lichtenberg. Of course one could deny even that and just consider matter to be real. In *this* paper I cannot argue in detail against all these eliminative reductive views. But I don't want to end up in a Jaina vein with a disjunctive metaphysics.[5] It will be clear that the common-sense realistic package is more to my taste. Against the picture of us all as ownerless object-less loosely continuous rivers of consciousness, I should like to argue that it fails to account for the kind of re-identificatory experience to which the title of this paper gestures. By eventually fudging the distinction between one person and another, such reductionism makes the private-public, subjective-objective divides fuzzy. That results in making linguistic communication unintelligible. Plain facts evaporate, licenses to make one's own world are issued while the supposed worldmakers themselves keep dividing, merging, re-emerging and partially surviving. To the extent that we conceive of ourselves that way, *cares* would lessen, no doubt, but so would *caring*. Maybe we shall be

liberated from egoism to some extent. But whose liberation will it be anyway?

1. The Method: Good old Nyāya Wine in a Fregean Bottle

In building up my case I shall consider realistic arguments from both classical Indian and modern Western sources. Udayana—the 11th century precursor of the Indian 'New Logic' (Navya-Nyāya)—saw the connection among realisms about physical objects, selves and universals, and defended all three against the Buddhist reductionists who deemed all three to be grammatical fictions.[6] Frege, the father of contemporary analytic philosophy, felt the need to establish the self as a bearer of ideas in order to secure the objectivity of 'thoughts' of which facts are a species.[7]

There are important differences between the Nyāya and the Fregean ontologies. Their concerns too were different. But both seem to recognize the necessity and connectedness of subjective and objective unifiers of experience, the inter-dependent double need of mental states to be *someone*'s and *of something*. By attempting, in my own way, a defense of a rather dated dualism of real selves and real objects, I hope incidentally to re-explode the myth that all Eastern Philosophy is idealistic, monistic and mystical. Post-Parfitian Western philosophy will also, I hope, have more to learn from the East than mere mindlcssness.

Although I shall chiefly deal with the basic insights and arguments, ignoring history and hermeneutic, I hope the exercise will illustrate the point that the reality of a philosophical problem is proved by its re-identification across centuries and cultures. The mapping of perceptual states onto the person and the external environment raises problems that I *saw* in Gautama's 2nd century aphorism[8] and

can now *touch* again in Colin McGinn's 1989 work on mental contents (which, however, upholds a different view of persons and objects).[9]

2. The Ego and the It

I am going to argue for the truth of a bi-conditional: Selves over and above experiences are real *if and only if* objects over and above experiences are real. In this section I shall try to prove the '*if*'-part of this claim: If we are realists about the external world then we have to introduce substantial egos into our ontology.

Now, to be a realist about material objects, let's say an apple, is at least to uphold the following two strict distinctions and the two strict identities:

(A) The apple is distinct from just an experience or idea of an apple.

(B) The apple is distinct from just its red-color, its coldish touch, smooth texture and sweet taste, and also from just a series or set of these qualities.

(C) The apple that I now touch (or bite or smell) is the same as the apple that I saw a while ago.

(D) The apple that I see is the same as the apple that you see.

We can tease out the existence of a self straightaway from *A*—the first distinction—because it implies the reality of both the items distinguished, viz., the apple and some experience of it. And experience cannot exist without an experiencer. The asymmetric individuation-dependence of experiences on relatively permanent subjects or owners of experience can be brought out at four different levels, viz., linguistic, epistemological, metaphysical and conceptual.

Linguistically, talk of perceptions presupposes prior reference to perceivers.

Epistemologically, no sensations are knowable directly or indirectly without some sort of knowledge of the person who senses.

Metaphysically, it seems ontically essential to a sensory state that it be unsharably borne by a conscious individual (like a dent needs a dentable surface).

Conceptually, we cannot conceive of a token experience without having the concept of a bearer of that experience.

Notice that each of this fourfold identifiability-dependence is only one-way. For instance, take the epistemological dependence of mental states on the self. It might seem that conversely even a self cannot be known in isolation from a mental state. But a self's individuation-dependence is not on any *particular* token-experience but at most on some experience or other; whereas a particular token experience, if it has to be known, has to be known along with that particular subject to which alone it can be ascribed and not with some subject or other.

Some Buddhists insisted that the so-called self can be *reduced*[10] to the individual mental qualities with which it is constantly co-cognised. But even if symmetric constant co-cognisability proved identity, one-sided knowability-dependence surely does not To use Udayana's counter-example, a dark color cannot but be perceived along with some bright color (e.g., of sun rays or of light in general) yet they are quite distinct, because the bright color *can* be seen without (be seen without) the dark.

Could it be that although a single passing thought is not the thinker—the entire stream of thoughts—a seamless series of experiences assumes that office or title of 'self'? In order to be compatible with a realistic view of objects as factorized above, such a series will of course have to be more well-integrated than just a bundle of visual, tactile, olfactory and similar sensations. The temperature cannot be an object of visual sensation and the color can never be an object of tactile sensation (except in special

situations like synaesthesia when it is assisted by memory of the very sort of trans-sensuous re-encounter which we are trying to explain). How then can the identity *C*—between what is seen and what is touched—be maintained? It will not do to give the ruling that *all* such claims of re-encountering the same object across times and senses are uniformly illusory. Who commits the mistake? Can just a visual experience so much as imagine mat *it* touched a cold surface? We cannot even credit the *pair* of sensations with the unitary conception of what it is for one object to have both color and temperature. A Jamesean picture of one thought dying away and the replacing thought finding it 'warm' and greeting[11] it as "mine" suffers from a number of conceptual flaws. Would such unowned thoughts which 'appropriated' the predecessors only in a rhetorical sense of 'possessing' ever be able to form the notion of mind-independent objects bearing properties accessible to different senses? We shall come back to this question in a moment. Let us pause here to look harder into this notion of *owning an experience*. Vasubandhu while explicating the Buddha's doctrine of *no-soul* faces the same problem;

How is this locution "Chaitra remembers" possible? If there is no self whose is this memory? Why is the possessive case used here ("whose")? To express the relation of ownership, just as in "This is Chaitra's cow." How is he the owner of the cow? Because the employment of the cow in carrying loads or milking etc. is under his control.

Towards what end is a memory supposed to be employed so that we are looking for its owner? Of course, towards the object remembered.... But how exactly is the recollection to be 'employed'? Is it by production or by movement? Since memory is incapable of movement it must be through production. So we conclude that the producer or the cause is the so-called owner and the effect produced is the owned possession.

...Hence whatever is the cause of memory is the owner of the memory.

Add to this the Buddhist[12] notion of a cause as a perishing predecessor, and you get the thesis that any immediate *predecessor* of a mental state is its owner. This version of the Stream-Conception is, in a way, directly opposed to the Jamesean version that the *successor* thought calls its dying ancestor "mine" and "appropriates"

it.[13] However, Both doctrines are equally counter-intuitive. Strangely enough, upon one prevalent version of Buddhist epistemology, one aspect of the preceding mental state is also the object (the *ālambana*), the causal and intentional support of the succeeding mental state. So, here we seem to have a peculiar collapsing of the owner and the object of the cognitive state. That may not daunt the Buddhist idealist who professes the doctrine of reflexive self-awareness of individual perceptual states. But it is surely incompatible with realism about the object as spelt out by our initial fourfold list of distinctions and identities. Three (*A, C* and *D*) of those claims entail the existence of mental states which need to be ascribed to something. *C* and *D* entail re-identification across times and senses which requires that the separate re-identifier endures in those times and runs across those sensations, because the sensations themselves do not, as it were, speak each other's language in order to even *ask* the question "Have you grasped the same item as I have done?" Even a single experience has the ascriptive demand which is strengthened by the integrative and retentive demands of synchronic and diachronic syntheses of such experiences. These are all demands for the same subject or substance. Suppose we ignore these demands and diagnose this adjectival understanding of mental events as a deep-rooted linguistic prejudice. I hope to show that the revised notion of the self as a heap or stream of mental events will then be inconsistent with distinction *B*, between properties of physical objects and the objects exemplifying those properties. Nothing short of a substantial self is thus implied by that crucial constituent of realism about physical objects.

Suppose, at any single cross-section of time it is a *heap* of perceptual, conceptual, dispositional and hedonic properties dependent upon each other and on correlated bodily and cerebral events; and over a period of time it is just a *stream* of such

aggregates maintaining some sort of continuity and insulation. Can we go ahead with such a set and series (*rāśi-dhārā*)[14] notion of the self while retaining the notion of sweet red apples individuated in their environment?

If I am just such a club of say visual and gustatory sensations what would the apple be for me? Since I shall not have the framework of *predication* or *exemplification* at my disposal (my self-knowledge being essentially additive), it will be at most a color plus taste or a color followed by a taste. But distinction *B* tells us that the apple is more than just a sum of its qualities. A bundle-self will look upon objects as similar bundles of properties severally accessible to its own members. Indeed, it is hardly intelligible how a 'set-series' sort of self can even put together discrete sense-data as *bundles*. Temporal proximity will hardly do as a deciding factor. While *looking* at the ocean, one may *smell* a friend's cigarette-smoke and *touch* a beach towel. The resulting bundle of contemporaneous visual, olfactory and cutaneous sense-data will yield no recognizably single physical object. Even if by some fluke the last bit of a time-slice of a subject-series succeeds to tie up the appropriate bundle, can it ascribe all the sensible qualities (or even one of them) as *properties* belonging to an external *substance*? Under the assumption that the subject of experience *really* is a series of mental states, one could imagine two alternative pictures. The *first* picture goes like this: The stream-self originally feels its own states in feature-placing forms like "Here comes a feel," "Now, there is a pinch of jealousy," "Here comes a wish," rather than "I touch," "I am jealous," or "I wish." But the same subject feels external sensations in predicative forms like "The apple is red," "The water is cold," "A stone rolled off." The *second* picture removes this incredible asymmetry. Both inner and outer experiences come through predicative judgements; yet, it insists, the subject-predicate model is *mis*-applied to the inner and *correctly* applied to

the outer sensations. It should be obvious that both the pictures are equally bizarre. It is extremely arbitrary to hold that while the ascriptive model is *never* or *never correctly* applied to the inner realm, the additive model is *never* or *never correctly* applied to the outer. Experiences of the two realms come to us at the same time, often indistinguishably. Interpreting two aspects of them in two radically different styles leads to either false psychology or false metaphysics. Any such negation of a substantial person is thus incompatible with realism regarding objects. If there is an "It" beyond experiences and qualities, there must also be an "I" behind them.[15]

Finally, it can be shown that identity *D* of objects of two distinct owners of experience requires the existence of more than one selves. Why can't "you" and "I"—in that part of the realist's claim—just mean rivers or clubs of unowned mental slates? Now, rivers can branch off and clubs can exchange members or live intermittently. Such also are Parfitian persons. But two such persons cannot talk of seeing the same physical objects from unsharably distinct perspectives. Since such persons might have merged with one another and could have been teletransported or replicated at any point in their lives — *sometimes sharing the same experiences and memories*— checking against each other's memory for any two of them will be as powerless against mistake as the same person's remembering something twice (recall Wittgenstein's analogy of buying two copies of the morning paper).[16] So those many people whose ability to coperceive the same object is part of the realist notion of the external world, must be substantial selves rather than Parfitian persons. A single Parfitian person does not remain strictly the same over time. Hence two of them would not be strictly distinct. The publicness criterion of objectivity of physical items requires being the common target of many *strictly* distinct centers of experience.

3. Backtracking: Someone In Here Entails Something Out There

I have tried to argue that a realist conception of material objects over and above their properties and independent of our experience of them compels us to believe in the existence of substantial selves, in more ways than one. The other side of the bi-conditional remains to be established. Before we pick that up I want to raise and answer one possible objection. In this section I am going to argue that if we are realists about selves we have to be realists about the external world. But can one even coherently talk about *realism* about the self? Can the mind be claimed to be mind-independent? Isn't that why no primary/secondary distinction has ever been drawn about the qualities of the mind? An object can be conceived to bear a quality, especially a primary quality without being recognized by anyone as having that quality. But is it possible for a self to have a state of consciousness without the fact being known to that self? Aren't all perceptions automatically apperceptive?

There are two grounds for this objection. The first is a confusion between "mind" and "self"—which always bothers translators of Indian thought into English. The mind cannot be independent of the mind but the self can. This sounds like a howler to the Western philosopher because not only is the distinction between inner sense —the faculty of introspection (which Indians call "Manas" and popularly translate as mind) and the Ego or Self (which they call "ātman") not made in the West (except, in a way, by Kant), but the notion of an objective self—a self which exists even during the gaps when it is not aware of itself—is nearly absent there. The second ground for the objection is the widespread belief that mental states are self-intimating, necessarily recognized by the subject who bears them. The famous "knowledge implies knowledge of knowledge"

thesis is a corollary of this. But the Nyāya-epistemologists rejected this doctrine of necessary self-awareness of all states of mind.[17] The self's normal stance is world-ward. Many of its own states may go unregistered if it does not pause to look within and perceive itself as undergoing claims of identity and distinction:

(A') The subject which ascribes to itself a set of cognitive, conative and affective states at t_1 and the one which ascribes to itself another completely different set of such states to itself at t_2 are strictly the same substance even if the mental states have radically different contents *if* the latter can remember the contents of the former set of mental states from an 'inside point of view' as having been its own. (Notice that such memory is a sufficient but not necessary condition of such identity across times.)

(B') If a tactile sensation at a subsequent time t_2 immediately arouses the perceptual judgment about a visual sensation at an antecedent time t_1 remembered from inside—as both sensations of the same object—the subjects of these sensations must be the same.

(C') This subject is *distinct* from any particular visual or tactile experience which inheres in it (it is surely not just the organic feeling of breathing,[18] as James once suggested).

(D') It is also distinct from the entire set of sense-experiences, volitions, memories and organic feelings at one time or the series of such states across a stretch of time.

Notice that each of these identities and distinctions stands on the notion of disparate experiences that the self ascribes to itself and the contents of which it can compare, contrast, link up and look back upon. Now, every experience, even an organic sensation of pain or

pleasure, reaches outside itself to get at some physical item or other: a visual sensation individuates itself as of a color, a pain as inside the stomach, a thought as about a picture, and so on. Most of these experiences, especially those which we can self-consciously ascribe to ourselves, have a predicative content where *something* is felt to be of *some sort*, my pen is seen to be blue and shiny or the ice-cream to be melting and sweet. If all we had in our world were myself and my mental properties then either all experienced properties will have to be ascribed to myself, resulting in unusual feelings like I am blue and shiny or I can taste myself as melting and sweet; or, alternatively all our perceptual contents will be just aggregates of qualities conjoined in a heap or series. My experience of a heavy shell will then be reduced to an experience of which one *part* was the sensation of weight and the other part or the whole itself an idea of the shell. But as Frege pointed out, what the experience *claimed* to grasp was not a shell which has weight as its part, but one which weight as its *property*. A self which never really comes across an external world can hardly be imagined to have even the idea of objects unlike itself bearing properties unlike its own properties. Indeed, such a self cannot even distinguish between different mental states in terms of the objects they grasp, being deprived of the notion of such objects.

Can such a self still manage to persist across its objectless mental states (which somehow manage to differ phenomenologically!)? Here I borrow an argument from Strawson to show that we cannot think of such a self, or at least explain how it can ascribe differing experiences to itself. To make sense of our trans-temporal identity-claims about the self, we have to appeal to the idea of an objective time-order. Such an order of succession of events will have to be understood as a system of irreversible temporal relations— independent of the self's subjective feelings. Since all that our self can feel are its own experiences, some of those experiences will have

to be construed by the self as experiences *of* things outside the experiences. But there is only one way in which perceived *things* can provide us with the background of an objective time-order, namely, "by *lasting* and being re-encounterable in temporally different perceptual experiences."

Udayana anticipates the basic insight of this very argument when he argues just from what I have called identity *B*' to the object of perception being real, mind-independent and irreducible to its qualities or a set of them. He enriches the argument further by bringing in the difference of sensory qualities along with difference of times, going into further details about the relation of inherence which is testified to by our perceptual awareness of the color being *in* the object. In resisting the idealist pressure to reduce the perceived single object with many features into a mere collection of those features, he also anticipates Frege's point that if there are no objects outside my ideas then the logical distinction between *properties* and *parts* will vanish. Thus it can be shown that a reductive anti-realism about the external world will lead to unavailability of the notion of a self which can re-identify itself across different successive experiential states.[19] Transpose this result and you get the conclusion of this section: *realism about the self implies realism about objects outside the mind*. A persistent self needs to discriminate between sensory states across which it has to ensure its own identity. Sensory states, to be discriminated, need to refer their contents to the external world. Nyāya, like contemporary externalists, holds that individuation of discreet co-personal mental states is to be done directly in terms of mind-independent objects and their equally mind-independent relations. There is no telling the difference between experience as of a blue pot and experience as of a red shirt unless there are blue and red pots and shirts at some time somewhere in the world (if not then and there). The conception of a

subjective cognitive state becomes available to us only in the wake of error. Contentful experience spontaneously takes the form "*This pen is red*" and does *not* take the form "I am having a visual experience as of a red pen" or even "Here is an experience as of a red pen."

It is only in the face of suspicion or detection of error that we curtail the claim and become aware of our beliefs. There is a certain cognitive *bashfulness* about confessions of a subjective state of belief which is appropriate only to a believer who fears a mistake.

But the concept of error is patently parasitic on the concept of getting it right, and *rightness* can only be understood in terms of an order of things as they are independently of our beliefs, *that is*, of things which can be common persistent objects of *many* sensations of *many* people on *many* occasions. Since thus, there is. no notion of belief without a notion of *things* about which belief can be wrong and right, there is no notion of a believer also without some notion of such outer topics of beliefs.

4. Conclusion: Externalism without Qualms

Our actual—if you like, *naive*—conception of a bit of experience with a structured content involves at least two types of items *outside* the experience, at its two opposite extremities, as it were. On the one hand, it requires a single experiencer capable of retaining its felt identity over a series of successive experiences. On the other hand, it depends upon an object with some features or a constellation of objects and features in terms of which its content is to be cashed. This dual individuation-dependence makes recognitive perceptual judgements at once evidences of the same I who touches and sees as well as of the same object which is touched and seen. It also

conceptually requires that we distinguish the I from the touching and seeing as well as the object from the texture and color.

In case all of the above sounds like just a rehash of the Kantian theme of the objective and subjective unities implied by the synthesis of experience, I wish to emphasize the vital difference. It is crucial for Kant that the *I* which thinks and unifies experience by applying concepts remains only a presupposition of knowledge and never becomes an object of knowledge. This unity of apperception is surely not the empirical self whose knowledge requires representation of something stable in space. This Kantian doctrine of the unknowability of the real subject was fondly picked up by Indian Neo-Vedantists early in this century. K. C. Bhattacharya remarked that if the self is what the word "I" expresses then "it is not meant or at best meant as unmeant and is accordingly above metaphysical dispute."[20] This opinion is by no means shared by the realist Nyāya philosophers whose chief 'metaphysical dispute' with the Buddhists was about the self. Neither is this attitude shared by Frege who, though aware of the incommunicable residue of the 'sense' of our individual uses of the pronoun "I," surely does not think that self or bearer of ideas is not *known* or not *meant* or *referred* to at all by words. Indeed Nyāya believes in the direct perceivability of the real self as much as it believes—once again *unlike* Kant—in the direct knowability of the real world of objects as they are in themselves.

An alleged Humean failure to perceive any self apart from fleeting experiences is symptomatic of the anti-realist. In response to a similar argument from non-perception to nonexistence coming from the Buddhist, Udayana asks: "Is it only you alone who fails to find the self or everyone? You could never be sure about what all others do or do not perceive. As to your own non-perception that is no invariable sign of the self's nonbeing."[21] What then is the positive evidence for the existence of the self? Udayana's answer is

unambiguous: "Direct perception, to be sure." For every conscious creature the judgement "I am" is self-evident. This judgement is pre-linguistic, so it could not be purely fictional or object-less: there is no question of our being merely duped by the pronoun. Since it is never challenged by any subsequent judgement it is not doubtful also. It does not await our search for a premise or reason. Hence it is not inferential.[22] It could not always have been just a memory unless at some time it was presented as a datum. So it must be an indubitable perception. Even if we sometimes are mistaken about our own present mental states, a self-delusive judgement like: "I am in pain" or "I *see* a snake"—in order to be false, presupposes the existence of and my direct acquaintance with the self *about* whom it is false.

Just as a direct realist resists the Lockean move that we only directly perceive qualities of physical objects while the object itself remains unseen and unknown, Udayana resists the Humean move that introspection only reveals mental *states*. The internal sense-organ, according to Nyāya, is in direct contact with the self (just as external senses reach out to touch tables and trees). Thus I am acquainted with myself when I am acquainted with a pain or a wish or a cognitive state like my-acquaintance-with-the-table, in me.

This is precisely what Frege argues using two very subtle arguments. First, consider my introspective judgement, "I am looking at the moon." A certain moonward gaze is surely one object of my knowledge. Is not *I*-the gazer another object? If we reduce this I to just another mental state or idea—to a Jamesean *thought* or a Yogācāra *Vijñāna* (an *ālaya vijñāna* or a perverted psychosis—a *kliṣṭamanas*—which imagines itself to be permanent), we face a vicious regress. This mental state or idea will need to be present to consciousness—it has to be *my* idea of myself—in order to come alive. Part of this consciousness will again have to be the pretended-I

—the idea of the self. Thus "I should be boxed into myself in this way to infinity."

Secondly, when I am introspectively aware of a lack of experience the self assumes a special claim as an independent object of perception. The content of negative introspective judgements of the very common kind—like "I am not in pain"—cannot be reduced to just a particular perception of a mental event. Even the most ontologically austere analysis of outer perception of absence, e.g., of a pen on a table, cannot get rid of the *locus*—the table as a perceived object. Similarly even if the missed feeling or its lack does not figure in our awareness of painlessness, as the locus of the absence the self *has* to be perceived if the absence has to be felt. This point was anticipated by K. C. Bhattacharya who, like Kant, was unwilling to objectify the self. He explained away such introspection of a want of feeling as my imagining a merely possible pain, or contrasting myself with a third person in pain. But confusing a clear perception of a non-suffering self with the mere non-perception of a suffering one seems to be a sheer mistake.

In Kant also we see a logical link between the self and material objects. But neither the ego nor the spatial permanent of his 'Refutation of Idealism' is transcendentally real. They are both 'made' by understanding. In Nyāya and Frege we have a real self knowing directly both itself and objects which are both independent of experiences and complete (unlike properties which are *incomplete*, i.e., parasitical on objects).

I want to end by reminding you of the fundamental differences between these two realistic schemes which I have more or less bracketed together against anti-realisms of various sorts. Frege's motivation for proving something real over and above subjective states was peculiar: once he had established a self, and then a

plurality of selves and objects outside experience, the 'way was clear' for recognizing mind-independent propositions as truth-bearers. These propositions he called "Thoughts" (*Gedanken*). A fact for him is just a true thought. Such thoughts are neither physical nor mental entities. Now, there is no place at all in Nyāya metaphysics for such a third realm. When many of us together perceive an apple to be red, apart from each of us and our unsharable sensations there is only *one* entity according to Nyāya—namely, a red apple out there. Both its substance and its qualities are equally physical. We can analyze the object into a substance, a quality, an action, a universal, a bonding relation of *being in* or exemplification. But on top of these there is no separate proposition or fact *that the apple is red* which I also apprehend. The Fregean tradition continues to speak of true and false thoughts as objective sharable contents of perceptual judgements and as meanings of sentences. Naiyāyikas would be anti-realists about such *propositions*. But that is another story.[23]

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1   *Padārthadharmasaṃgraha*, Chapter on the self as a substance.

2   *Truth, Love and Immortality*, p. 38 (Berkeley and Los Angeles: University of California Press, 1979).

3   *Atmatattvaviveka* (see reference in note 6) p. 428, my translation.

4   *The Thought: A Logical Enquiry*, p. 32 (see note 7).

5   The basic Jaina methodological frame Work is one of non-sceptical and non-agnostic alternation. Among conflicting theories of reality t_1, t_2, t_3 etc., Jaina philosophy recommends a reconciliation roughly in the following form, "Either t_1, (from point-of-view v_1) or t_2 (from point-of-view v_2,) or t_3, (from point-of-view v,)...etc." There is no picture of any exclusive ultimate reality inaccessible to and beyond all these alternations. Hence my phrase "disjunctive metaphysics." The disjunction is not due to epistemic limitations but lies at the very heart of reality which is non-one-faced (*Anekānta*).

6   See '*Ātmatattvavivek*' by Udayana-ācārya, edited by Laksmana Sastrī Dravīda, The Asiatic Society Calcutta, originally published in 1907–39, reprinted 1986. A not too accurate summary of the work is to be found in Karl Potter (ed.), Encyclopedia of Indian

Philosophies (Princeton), Vol. II (Nyāya Vaiśesika), pp. 526–56. I have drawn heavily from especially chapters 3 and 4 of this vast work entitled, "The dispute about denying the distinction between property and property-possessor" and "The dispute about non-apprehension of the self"—respectively.

7   See "*The Thought: A Logical Enquiry*" by G. Frege translated by A and M Quinton, in Strawson (ed.), *Philosophical Logic* in the Oxford Readings in Philosophy series. 1967.

8   "Darśana-sparśanābhyām ekārtha grahanāt" —Nyāya-Aphorisms, No: 3.1.1. The exact context is the proof that any individual sense-faculty (or their conglomeration) cannot serve as the self. Literally translated, it means, "Because the same object is grasped by both sight and touch."

9   McGinn, Colin, *Mental Content*, Oxford 1989.

10   For the most reliable and accessible account of this Buddhist view, see Steven Colins "*Selfless Persons*" (Cambridge University Press, 1985).

11   James, W. '*Principles of Psychology*' Vol. 1, Chapter X, p. 32 (the works of William James, Harvard University Press, 1981).

12   *Abhidharmakoṣa* by Vasubandhu, Chapter VIII, p. 1217 of the Bauddhabharati Edition. For Theodore Stcherbatsky's translation of this passage see pp. 52–53 of "The Soul Theory of the Buddhists," Bharatya Vidya Prakasan, Delhi, 1976.

13   *Principles of Psychology*, Vol. 1, p. 322, op. cit.

14   *Abhidharmakosa*, p. 1205. "Therefore, the person is only nominally real, like a 'heap' or a 'stream', etc."

15   One might ask, "Must this ego be a *substance*?" In Kant the transcendental subject never becomes an object of knowledge, hence is never categorisable as a substance. But I see no reason to feel constrained by such Kantian strictures. All that it takes to be a substance are

(a)   ability to bear several qualities

(b)   persistence across several moments of time

(c)   remaining the same while the qualities change.

My arguments from the identities and distinctions on the objective side of a series of perceptual experiences prove all these features for the required subject. Hence I do not overstate my case.

16   Remark 265, p. 94c of *Philosophical Investigations*.

17 I cannot here go into a full defense of the realists' rejection of the doctrine of reflexivity of all cognitive States. One obvious argument is the infinite regress which will set in if every cognition of x has to be a cognition of cognition of x. The other peculiarly Nyāya argument is that at the same point-instant the self can be in touch with only one (simple or compound) object. Finally, memory does not register every cognitive episode that happens to us, hence, not all of them are even internally apperceived. But this is a subtle and demanding topic of controversy.

18 See James, *Principles of Psychology*, Chapter X, Vol. I.

19 I had imagined Berkeley to be the exemplar of the position I am attacking by this argument: that external objects are reducible to series of sense-qualities but the self remains substantial. But even Berkeley, I recently noticed, in his consistent moments, goes to the Humean length of asserting: "Mind is a congeries of Perceptions," and denies any real distinction between "that thing which perceives" and "Perceptions" themselves. See remarks 580 and 581 in his philosophical Commentaries, Notebook A.

20 *The Subject as Freedom*, in *Search for the Absolute in Neo-Ved ānta* (The University Press of Hawaii, 1976) p. 93.

21 *Ātmatattvaviveka* of Udayana, p. 738.

22 Ibid., p. 743.

23 A version of this paper was read at the Sixth East West Philosophers' Conference at Hawaii in August 1989. I am thankful to the anonymous referees for this Journal, for suggesting improvements. Much of the research was done during my term (1988–90) as a Jacobsen Fellow at University College London.

Dehātmavāda or the body as soul

EXPLORATION OF A POSSIBILITY WITHIN NYĀYA THOUGHT

PANDIT BADRINATH SHUKLA

According to Nyāya thought, soul is one of the nine substances, the other eight being earth, water, fire, wind, ākāśa, space (*deśa*), time and the mind (*manas*). Soul itself is of two kinds, the *jīvātman* and the *paramātman*. The *jīvātman* is the embodied soul; it is plural, different in every different body.

Soul is distinct from the physical body, the senses, the mind (*manas*) and the life principle (*prāṇa*). It has no form, though it comes into contact with all substances which have a form, and thus becomes an agent and has experiences. Though it has contact with all substances which have a manifest form, yet, due to the power of *adṛṣṭa* , born of earlier *karma* , it experiences joy and suffering only in association with that particular body with which it becomes conjoined due to earlier *karma*. It then engages in new *karma* acquiring sin or merit depending on actions characterized by *dharma* or *adharma*. New experiences create in it new *saṁskāras* (impressions and propensities). In whatever way it acts, the mind joined to it by the force of its *adṛṣṭa* acts as its subordinate.

Such is the embodied soul, the *jīvātman*. It is characterized by nine *guṇas* (qualities/properties) which are specific to it: *buddhi* (cognition, consciousness), desire, aversion, effort, *dharma, adharma*

, volition, joy and suffering. It is also characterized by five general *guṇas* , namely, number, measure, separateness, conjunction (*saṁyoga*) and disjunction (*vibhāga*), which inhere in it. It is born and reborn in various *yonis* (living forms) according to its *karma*. Only in a human body does it become aware of itself as a candidate (*adhikārm*) for *mokṣa*. In this state it is called *dehī, praṇī* or *jīva*.

The *paramātman* is distinct from the *jīvātmans* or embodied souls; for *paramātman* is one, it is the creater of the world and the author of the Vedas. The *jīvas* who worship *paramātman* are in return bestowed with the gift of endless divine bliss. The *paramātman* impels the *jīvas* to enjoy the fruit of their *karma* and in the attainment of *mokṣa*. It, too, has nine *guṇas* which are its inherent properties: eternal knowledge, desire and effort in addition to number, measure, distinctness, conjunction and disjunction. *Paramātman* is called by names such as Iśvara, Prabhu, Bhagavāna, etc. Since *paramātman* creates, upholds and destroys the world, he is also given the three names, Brahmā, Viṣṇu and Śiva.

The body cannot have *buddhi* (cognition, consciousness) as an inherent property, because, if this were true, the experience of childhood would not be remembered in old age when the earlier body no longer exists. Moreover, *buddhi* is obviously absent in a dead body. Therefore, clearly, it is not the body that possesses *buddhi*. All other specific *guṇas* of the soul (ātman) such as desire, effort, etc. are rooted in *buddhi* (consciousness, cognition). Therefore, they, too, cannot be inherent properties of the body. Neither can it be said that *buddhi* , desire, effort, etc. are inherent properties, not of the body but of the sense-organs; because the memory of an earlier experience, which was acquired through a sense-organ, persists even after the sense-organ itself is destroyed. Moreover, if each of the sense-organs were separately endowed with *buddhi* desire, effort and other such *guṇas* every single body will have a multiplicityof

conscious agent (*jñānis*) pulling it in different directions and soon destroying it completely. Further, the mind, according to Nyāya, is atomic, but these *guṇas* such as consciousness, desire, etc. are not; they are thus experienced as continuous in nature. Such an experience would not be possible, if it was the mind and not the *ātman* or self which had these *guṇas* as inherent properties. Therefore, we are led to the conclusion that the *ātman* or self is a substance different from the body, the senses, and the *manas* (mind) and possesses *guṇas* such as knowledge, desire, etc. as inherent properties.

Such is the notion of the self as propounded in the standard texts of Nyāya and the Vaiśeṣika. But it cannot withstand criticism. For it can be demonstrated that within the Nyāya framework the concept of body along with that of the mind (*manas*) can effectively replace the concept of a distinct self, revealing it to be a redundant idea. This new Nyāya doctrine can be called the doctrine of *dehātmavāda*.

According to *dehātmavāda* , the concepts of *manas* and body can successfully fulfil the various purposes for which a distinct self or *ātman* has been posited. And this can be done without giving up the Nyāya framework. The living human body can replace the self as the ground in which those *guṇas* or properties, which are capable of being directly perceived, inhere. These *guṇas* are: *buddhi* (consciousness, cognition), desire, joy, suffering, revulsion and volition. The other three *guṇas* of the self, namely, *dharma* (merit) *adharma* (demerit) and *bhāvanā* [1], which are not capable of being directly perceived, can be taken as inhering in the *manas* (mind). Now it is true that in the Nyāya framework we cannot conceive of the above group of *guṇas—buddhi* (consciousness, cognition), desire, etc.—as specific or *viśeṣa guṇas* of the body; for such *guṇas* can arise in the body, an earthly object, only through a process such as *pāka* (maturation, evolution), a process which can result only in giving rise

to newer *guṇas* that are essentially similar in nature to the earlier earthly (material) *guṇas*. The limbs of a human body are '*jaḍa*' dead material objects; they have no consciousness, and thus they cannot give rise to radically different *guṇas* such as *buddhi* , the essence of which is consciousness. But, though we cannot conceive of *buddhi* and like *guṇas* as *specific guṇas* of the body, we can certainly conceive of them as general or *sāmānya guṇas* inhering in the body. This is, indeed,.our move.

The *general guṇas* in the Nyāya system are such that for them to be conceived of as properties inhering in the body it is not necessary that they be emergent properties, through the process of *pāka* , of the same matter of which the body is constituted. Nor is it necessary that they be similar in character to those essentially material *guṇas* that belong to the various limbs of the body. For this reason it is possible within Nyāya to conceive of *guṇas* like *buddhi* (consciousness, cognition) as belonging to the body and as inhering in it Just as form, according to Nyāya, inheres in a body as a general *guṇa* , so can *buddhi* and the like. The Naiyāyika cannot but allow this. The body, after all, has other *guṇas* too in his scheme such as *saṁyoga* (contact) and *viyoga* (the state of being disjoined), which inhere in it as *general guṇas*. Similarly, why can we not conceive of *buddhi* and such other *guṇas* as inhering in the body as *general guṇas*?

A question may be posed here: if *buddhi* , desire, effort and other such *guṇas* are conceived of as *guṇas* residing in a body, then why not conceive of them as *specific guṇas* rather than *general guṇas*? This, however, is patently not possible, for this will not be consistent with the very definition of a *specific guṇa*. A *specific guṇa* is defined as a *guṇa* on the basis of which one *dravya* (substance) is distinguished from another. The specificity of a *specific guṇa* has both a positive and a negative aspect. A *specific guṇa* is, by

definition, present in substances which are characterized by it; but at the same time it is absent from all other substances. The *guṇa śabdatva* (sound as a property), for example, inheres in *ākāśa* as its *specific guṇa*. It is absent from all other *dravyas* , and is at the same time the *specific guṇa* which distinguishes *ākāśa* from other *dravyas*.

What we are proposing is that *guṇas* such as *buddhi* be conceived of as *general guṇas* inhering in a body as long as it lasts. They are analogous to form (*rūpa*) which, too, in Nyāya is conceived of as a body's *general guṇa*. There are other *guṇas* too, namely, conjunction (*saṁyoga*) and disjunction (*viyoga*), which in Nyāya are conceived of as inhering in the body as its *general guṇas*. *Buddhi* and the like can be similarly conceived of as inhering in a body as its *general guṇas* as long as the body endures as a living thing.

Regarding the three *guṇas—dharma* , adharma and *bhāvanā— dehātmavāda* holds that these inhere in the *manas* , and further that all three are *specific guṇas* of the *manas* since they distinguish *manas* from other substances.

OBJECTION. If *buddhi* and like *guṇas* are conceived of as *guṇas* inhering in a body on the analogy of *rūpa* (form), then they, too, should be directly perceptible like *rūpa*.

ANSWER. There is no rule which stipulates that any single specific senseorgan should be able to perceive all the *guṇas* inherent in a body. We find that *rūpa* (form) is perceived by the eye, touch by the skin, smell by the nose, and taste by the tongue. Let *manas* , we say, be the organ that perceives *buddhi*. There can be no objection to this.

However, another objection can be raised here, namely, *guṇas* belonging to the body are so conceived in the Nyāya framework that they can be perceived only by outer sense-organs and not by an inner organ like the *manas*. This, indeed, is a rule. Therefore a *guṇa*

like *buddhi* , which is to be grasped or perceived only by the *manas* , cannot be a *guṇa* of the body. In reply to this objection, we declare that once we have accepted *buddhi* and other such *guṇas* as 'belonging to' the body, we can certainly further stipulate that *manas* , which is the organ for grasping or perceiving these *guṇas* , can also be taken to be an 'outer' sense-organ, since it is able to perceive *guṇas* such as *buddhi* which belong to the body. The fact that *manas* is called an inner organ is merely indicative of its 'residing within' the body. Moreover, the Nyāya rule is that an outer organ is needed to perceive a *guṇa* that resides on the outside of a body. Since *guṇas* such as *buddhi* reside within the body and not on its surface, for perceiving such *guṇas* what is needed is, indeed, an internal organ such as the *manas*.

Let me explain further. The Sāṁkhya scheme divides sense-organs into two categories: (*i*) *jñānendriyas* (organs of perception) and (*ii*) *karmendriyas* (organs of action). The *manas* (mind) acts as an aid to both these categories of *indriyas* , and is thus called both a *jñānendriyas* and a *karmendriya*. On this analogy, taking *buddhi* and other such *guṇas* as belonging to the body, manas can be conceived of as an outer and an inner sense-organ: outer because it perceives *guṇas* residing on the outside of the substances, and inner because it resides within the body and perceives 'inner' *guṇas* such as *buddhi*.

OBJECTION. If *buddhi* and other like *guṇas* are conceived of as inhering in the body like *rūpa* (form), then it should be possible for an observer to perceive them just as he can perceive the *rūpa* (form) of another's body.

This, we answer, is absurd. We can never directly perceive *buddhi* and other such *guṇas* belonging to any body. The shape and form of a body can be perceived by another, because they come into the field of the eye's vision. *Buddhi* and other such qualities reside within;

hence they never come into the field of an observer's outer vision. Direct perception can result only when an object comes into the range of a sense-organ.

Another objection to our hypothesis can be this: if we assume that it is the body that possesses *buddhi* , then memory would become impossible; an old man with his old body will never be able to remember what he experienced when he was young, for he then possessed a different, young body.

This objection can be easily answered. Our theory of *dehātmavāda* holds that the experiences of a body give rise to *saṁskāras* (impressions) in the *manas* , and that *manas* continues to be the same in the young body as well as the old. It is through the *saṁskāra* residing in the *manas* that an old man can remember what he experienced when he was young. In our theory of *dehātmavāda* , experience is conceived of as givingrise to sariiskara which, in turn, gives rise to memory. Experience causes *saṁskāra* in the *manas* through the relation known as *svāśraya-vijātīya-saṁyoga-sambandfta*: that is the relation of contact between two distinct and dissimilar objects residing in the same receptacle (*āīraya*). *Saṁskāra* then gives rise to memory in a similar manner. But the relation of the *manas* with the sense-organs or with the limbs of the body is not of the same nature as the relation between the *manas* and the body as a whole. Therefore, neither *saṁskāra* nor memory arise in the senseorgans or in the limbs of a body.

After death, the *manas* associated with the present body enters a new body which is born of the *adṛṣṭa* associated with the present body. This is possible, because the association of the *manas* with the body is a *vijātiya* association. It is for this reason that a newly born baby retains a 'memory' of its *saṁskāras* (impressions) in an earlier body, and begins suckling its mother's breasts as soon as it is born.

Its experience in the earlier body had given rise to the *saṁskāra* that suckling the mother's breast is beneficial; and, therefore, in its new birth, too, the 'memory' born of the past *saṁskāras* causes it to suckle its mother's breasts.

OBJECTION. If the experience of a previous body can gvwe rise to memory in a new and different body, then it should also be possible for the experience of one man to give rise to memory in another: what Caitra has experienced should, in this view, be remembered by Maitra.

This objection is groundless, because in the case of Caitra and Maitra the *manas is* not *identical* , whereas in the case of one body being reborn as another the *manas* continues to be the same.

OBJECTION. The present body which you have also equated with the soul engages in actions throughout its life. It cannot, however, attain the fruits of all its actions within the span of a single life time. Therefore, when it dies, some of its actions cannot but be conceived of as destroyed without giving rise to any fruit. How can the *dehātmavādin* fail to arrive at this unseemly conclusion? Further, a new body-soul begins experiencing joys and suffering from the moment of its birth. The *dehātmavādin* cannot account for this. For him these new experiences of joy and suffering must remain fruits of actions never performed.

Our answer is that the *manas* remains common to both the new and the old body. Actions performed in the older body which have not yet borne fruit reside as *saṁskāras* born of *dharma* and *adharma* (merit and demerit) in the *manas*. In the new body born of *adṛṣṭa* (created through *dharma* and *adharma*) in the older body, the same *manas* continues, and thus actions which were performed in the earlier body are enabled to bear fruit in the newer body. Our theory of *dehātmavāda* does not believe in the rule that the fruit of an

action is experienced by the same person who performed the action. A belief in this rule is possible only for those who believe in a soul apart from and distinct from the body. This is an old prejudice that we must give up, though, admittedly, it is difficult to give it up. The rule in which we *dehātmavādins* believe is this: the fruit of an action performed by a body is experienced by another body in which the same *manas* which resided in the earlier body resides. Body and mind (*manas*) in our view are two distinct entities, conjoined with each other through a contact of the *vijātīya-saṁyoga* kind in which two objects can remain in touch without losing their distinct identity.

OBJECTION. It is the body which performs permissible and impermissible actions. If such actions have no interaction with the *manas* , how can they give rise to merit or demerit in the *manas*? And if merit and demerit reside in the *manas* which is quite distinct from the body, how can a new body experience the fruits of earlier action, since the continuity of the new birth with the old is through the *manas* and not through the body?

This objection, we say;, is not tenable. We hold that the actions performed by the body cause *adṛṣṭa* in the *manas* which resides in the body through the relation known as *vijātīya-saṁyoga-sambandha*. And then this *adṛṣṭa* which resides in the *manas* becomes the cause of joy and suffering in another body through the same relation.

A further objection may be raised here: the demand for economy of thought would tend to favour positing an independent self or *ātman* , because this would do away with the positing of an indirect causal relation leading from experience to *saṁskāra* to memory on the one hand, and from action to *adṛṣṭa* on the other.

The answer to this objection is as follows: when we choose between two alternative causal explanations, the principle of

economy is not by itself sufficient to lead us to the right choice. The totality of what is to be explained should be the prime consideration. The question of economy of thought usually arises in respect to the *form* of definitions where the nature of what is being defined itself is not in question, i.e. all parties agree as to what it is that is being defined, and the choice is to be made only between different formulations of how it is to be characterized in words.[2] Such is not the case in the present situation. The question we have before us concerns the very basic issue as to whether experience, *saṁskāra* and memory can at all be directly related through a causal connection with *karma* and the fruits of *adṛṣṭa*. An appeal to economy of thought cannot be a relevant argument in deciding this issue. Moreover, even if we accept that experience, samskara, memory and *adṛṣṭa* reside in the same receptacle, i.e. *ātman* , and thus they can be causally related in a direct manner without necessitating two distinct causal connections, then, too, we shall not really gain in economy; for then we will have also to accept an infinity of all-pervasive, *vibhu* , substances, namely, the *jīvātmans* , and this will lead to another kind of non-economy in thought. This we choose to avoid.

Further, the belief in *ātman* as an extra entity creates other problems. Sentences like 'I go', 'I know' necessitate a basic distinction in the analysis of the two verbs, thus resulting in another loss of economy in thought. In explaining the first sentence 'I go', traditional Nyāya will have to take the verb 'go' as referring to an action; while the verb 'know' in the second sentence has to be taken as pertaining to the *ātman* in which knowledge resides. *Dehātmavāda* gets rid of this dichotomy. For, if we conceive of the *ātman* as indistinct from the body, both the above sentences can pertain to the same entity. Take also another pair of sentences such as 'Caitra goes' and 'Caitra knows'; the belief in *ātman* as a separate and distinct entity creates a

problem in understanding these two sentences. The first sentence 'Caitra goes' may be easily construed as follows: the word 'Caitra' can be understood as referring to Caitra's body which also may be seen as the *āśraya* (ground) of the act of going. But a similar analysis cannot be made of the sentence 'Caitra knows' if we accept the *ātman* theory; because the verb 'know' will then pertain to an entity, i.e. *ātman* , which is distinct from Caitra's body. The two verbs 'go' and 'know' will thus have separate *āśrayas*. Neither can we make the move of taking the verb 'know' as pertaining not to any *āīraya* or entity that knows but to a limited piece of knowledge itself. For, then, the sentence 'God knows all' will be impossible to construe since God's knowledge is unlimited.

However, the following may be postulated by the separate *ātman* theory: the meaning of sentences like 'Caitra goes' and 'Caitra knows' are to be taken as pertaining separately to both the body and the *ātman* of Caitra. But such a move, too, will create a problem. A sentence such as 'Caitra does not know' will then not be able to contradict another statement such as 'Caitra knows', for we will be able to construe the first one as pertaining to the body of Caitra and the second one as pertaining to the *ātman*.

Another objection may be raised against *dehātmavāda* as follows: *dehātmavāda* argues that *saṁskāra* becomes a cause of memory through the fact that both memory and *saṁskāra* reside in the same receptacle (*āśraya*) and are related through a *svāśraya-vijātīya-saṁyoga-sambandha*. It is through this causal connection that memory resides in a human body in the *dehātmavāda* view. But this raises a problem, for a similar causal chain connects memory to the sense-organs too. Hence the sense-organs will also have to be understood as endowed with memory. And, since memory is a kind of knowledge, sense-organs will become identical with *ātman*.

The objection is not justified. We *dehātmavādins* think that the process through which experience gives rise to *saṁskāra* has to be construed in this way. Experience gives rise to *saṁskāra* through the *svāśraya-vijātiya-saṁyoga* relation. And *saṁskara* , then, gives rise to memory. But this relation *does not* exist between memory and the sense-organs or the limbs of the body. (Memory resides through *manas* in the body *as a whole* , which is an entity distinct from sense-organs and the limbs of the body, which are parts of the body.)[3]

OBJECTION. In *dehātmavāda* the notion of the relation between the *manas* and the body is such that ordinary material objects such as a piece of cloth or a jar can also become associated with the mind (*manas*), and, therefore, they, too, can have *ātman*.[4]

ANSWER. The *manas* , we believe, is related to the body only through an indirect causal connection, i.e. through a causal link established through experience and memory. This is what makes the continuity of *karma* possible for the same *bodymind* entity from one life-time to another. The *manas* has no such causal link with objects like a jar or a piece of cloth. If we make relation such as 'occuring at the same time' or 'being the object of the same knowledge' as equal in status to the relation of *saṁyoga* with the same '*āśraya*' (which the *manas* has with the body) and further argue that the former two relations can also give rise to memory through *saṁskāra* , then the whole world will become the *āśraya* of knowledge and it will have to be believed that everything has an *ātman*. But such an argument is far-fetched and is no more than a vicious attempt to destroy all cogent theorizing. Even in the theory which believes in *ātman* as distinct from the body, not everything can become the *āsraya* of *ātman*. Through relations such as 'occurring together at the same time', the *ātman* can become related to objects such as jars. But this theory denies that knowledge can rise in the *ātman* through its connection with a jar. It is only through the connection of *ātman* with

living bodies (which become its *āśraya* through a *vijātiya-saṁyoga*) that the rise of knowledge is possible. Similarly, *dehātmavāda* also believes that, though *manas* can have *saṁyoga* with every thing through relations such as 'occurring at the same time', yet such relations do not give rise to memory or other conscious entities. It is only when *manas* which is the *āśraya* of *saṁskāra* has a *saṁyoga* with a living body that such a *vijātiya-saṁyoga* can give rise to memory, etc. These are matters which can be very easily understood, and to cast unnecessary doubt upon them is misplaced.

But another, a more serious, objection can be brought against *dehātma-vāda* by someone who argues as follows: the attempt at repudiating *ātman* and replacing it by the body and the *manas* , in effect, elevates these two to the status of the *ātman* ; it does not negate the *ātman* as such.

This argument, too, is not tenable. In our theory the body is non-eternal, whereas the *manas* is eternal. If both together were to form the *ātman* , we shall have to conceive the *ātman* as having two contradictory qualities of being both eternal and non-eternal. This could give rise to ideas contrary to experience, ideas such as 'sometimes I am eternal, but sometimes I am not'. The equation of the pair, body-and-*manas* with *ātman* , is thus not tenable.

Gautama in his *Nyāyasūtra* says: 'Desire, revulsion effort, joy, suffering and *buddhi* , these are what characterizes the *ātman* (*ātmano liṅgam*)? We have accepted all these characteristics as belonging to the body alone and not the *manas. Manas* in our postulation is the dsraya only of *dharma, adharma* and *bhāvanā*. The function of the body and *manas* being so distinct, they can-not be equated with the *ātman* in any sense.

Here, however, is another objection: *manas* , in Nyāya, is atomic. It cannot, therefore, pervade the whole body. How then is

consciousness felt to pervade the whole body? The only answer can be to accept an *ātman* which does pervade the whole body. But this the *dehātmavādin* refuses to do. Thus, his theory cannot explain the common experience of our being able to feel the body as a whole.

Our reply. The theory which conceives *ātman* as distinct from the body also has no answer to the problem. *Manas* in traditional Nyāya remains in contact with the *ātman*, but *manas* can be present only at one tiny part of the body at a single moment. And yet, by the multiplication of these moments, it gives rise in the *buddhi* to experiences that cover the whole body. The *dehātmavādin's* solution to the problem can be similar.

Objection. It is a common human intuition that the *manas* is an internal organ, and also that *manas* is entirely instrumental in character. Its instrumentality is revealed by feelings such as 'Now I am doing this with my mind', 'I am aware through my mind', and the like. *ātman*, however, is not an instrument but is considered to be an agent. *Manas*, being purely instrumental, cannot, therefore, replace it.

This objection is again easily answered. *dehātmavāda* believes that the *body* is the *ātman*. As for *manas*, it is merely an instrument of this body-as-*ātman*. This we have already stated earlier.

A fresh objection might still arise. If what makes the body conscious is the *adṛṣṭa* which belongs to the *manas*, then it becomes difficult to see how a dead body must be necessarily devoid of consciousness; because, according to *dehātmavāda*, the *manas* containing the *adṛṣṭa* which imparts consciousness to the body continues to exist even after the death of the body with which it was associated.

This objection, too, is not tenable, the reason is that we believe in the rule (*niyama*) that the *vijātīya-saṁyoga-sambandha* (the contact

between two categorically different objects such as *manas* and the body which makes it possible for the *manas* to be associated with the body) is destroyed immediately and necessarily at the death of the body.

Yet, the following questions may arise: if the body *is* the *ātman* , then usages like 'my body' will have to be understood in a purely metaphorical sense. But in that case, how do we explain the fact that usages such as 'I am the body' are never to be found? How can the *dehātmavādin* explain this?

ANSWER. Linguistic usages depend on our knowledge of both words and the objects they refer to. Since we never have a knowledge which can be expressed as 'I am the body', such usages are not found.

But this only raises a further question: if the body is identical with the *ātman* how then can one explain the fact that such a knowledge never arises?

This question has an easy solution. The meaning of the word 'I' can be grasped only in connection with the characteristics (guṇas) of which 'I' can be an appropriate *āśraya*. Therefore, the knowledge of 'I' arises only in terms of 'I am fat', 'I am thin', 'I am happy', 'I am willing', etc. The knowledge such as 'I am the body' does not arise in normal experience; but, then, neither does the knowledge such as 'I am the *ātman*' The theory, which upholds *ātman* as a separate, distinct entity, has, therefore, the problem of explaining why a knowledge such as 'I am *ātman*' is not a common human knowledge. *ātman* in common experience is known not directly but through its properties such as *buddhi* , joy, etc. resulting in usages such as 'I know', 'I am happy' and the like.

Another objection to *dehātmavāda* can be made on the basis of Patañjali's Yogasūtras which speak of various *bhūmis* (aspects or

stages) of the *chitta* (psyche). These *bhūmis* such as *kṣipta, vikṣipta* and others have no relation at all with the body or any limb of the body, a fact which is a matter of common experience. *dehātmavāda* cannot account for their existence. Only the postulation of a distinct *ātman* can do so.

This objection is baseless. *dehātmavāda* , too, can successfully comprehend and accommodate *bhūmis* of the psyche.

No one has any doubt concerning his own existence. Such doubts as 'Do I exist or Do I not?' just do not arise in anyone's mind. The doubt that does arise is whether the body is the *ātman* or not. For both *dehātmavāda* and the doctrine of a separate *ātman* , the doubt 'Do I exist or not?' will not arise. Since in the *ātman* doctrine the body is decidedly not *ātman* and in *dehātmavāda* it is decidedly so, the question. 'Do I exist or not?' is meaningless and adventitious in both cases, and the belief in the existence of self either as the *ātman* or the body remains unquestioned.

What we intend to point out is that the term 'I' refers to the person who utters it. In the *ātman* theory, 'I' will refer to the *ātman* as an entity distinct from the body, implying that the person who says 'I' is an *ātman* distinct from the body. In *dehātmavāda* the same 'I' will refer to the body of the person who utters the personal pronoun. In both cases, 'I' will have a meaningful, unquestionable reference. The doubt 'Do I exist or not?' will in either case be adventitious.

OBJECTION. A statement such as 'He is reflecting on the question whether he is the body or not' will sound very strange if we accept the doctrine of *dehātmavāda*.

This, however, cannot be taken as a serious objection against *dehātmavāda*. In the doctrine of a separate *ātman*, the proposition 'I am not the body' is an unquestionable given. In *dehātmavāda* , on the other hand, what is given as unquestionable is the proposition 'I

am the body'. Thus, a question such as 'Am I the body or not?' is adventitious not only for the doctrine of *dehātmavāda* but also for the *ātman* doctrine.

Another objection to *dehātmavāda* can be as follows: the experience that 'I am' seems sometimes to arise from the head and sometimes from the nerves or the flesh of the body. This in *dehātmavāda* is bound to give rise to absurd experiences such as 'I am my head, or 'I am my flesh' or 'I am my nerve'.

Such an objection can only be called crude. Experiences that arise from different limbs of the body such as the head or the flesh or the nerves actually belong to the body as a whole, which is distinct from its parts and is the real reference of the term 'I'.

YET ANOTHER OBJECTION. The 'I' experience, as we can all feel, is quite distinct from bodily experiences of pain or joy. Therefore, the 'I' experience must be grounded in something, which is quite distinct from both the body and the *manas*.

This objection is again not tenable. We do not believe in the possibility of any experience, which may be characterized as the experience of the pure 'I'; neither do those who believe in the *ātman* doctrine. For both, the meaning of 'I' refers to the person who utters the word. According to us *dehātmavādins*, this person is no different from the body, which is the actual referent of the term 'I'. We do not understand why one should unnecessarily look for another referents

OBJECTION. In certain-states of consciousness such as dreaming, the existence of outer objects including one's own body can become either doubtful, hazy or even controverted. But such a veil of doubt or negation never falls upon the existence of the *ātman*. If the body were the *ātman* y then such an experience should have been impossible in the case of the body too.

We have an answer to this objection. What happens in the above cases is not different from what happens in cases of *bhrama* (illusion), when an object is not perceived in its true character. In a dream the true character of the body as *ātman* becomes veiled by doubt. But this does not mean that we begin to perceive the body as a non-*ātman* , something which it is not, and doubt its truth in the capacity of a. non-*ātman*. Such a doubt is not possible.

We believe that the body itself is the *ātman* ; there is no *ātman* distinct from the body. Yet. we also grant that the body as the ground of actions and efforts is different from the body as the ground of consciousness and the like *guṇas*. In states of dream-like illusion, the perception that we have is *not* that the body is actually a different entity, namely, the *ātman*. The body is, in fact, still taken as the body. What becomes doubtful is the existence of the body as the body, not as something mistaken for the *ātman* , distinct from it.

ANOTHER OBJECTION.   The *dehātmavādin* cannot but accept that the final goal of life (*parama puruṣārtha*) is the achievement of physical comfort and material happiness. Yet, we see that human beings are prepared to undergo personal sufferings for the good of others. How can this be explained in *dehātmavāda*?

ANSWER.   The doctrine which believes in a distinct *ātman* also has a similar problem, because in that doctrine, too, human action is conceived of as being solely directed towards the attainment of one's own happiness and in getting rid of whatever causes unhappiness. In truth, only a few altruistic persons give up their own happiness and devote themselves to performing actions that would lead to the happiness of others. Such people will continue to exist whether we believe in *dehātmavāda* or in the *ātman* doctrine. There are men who, though they believe in the *ātman* doctrine, are yet ready to act for the good of others giving up their own personal

comforts and accepting pain in the process. Similarly, the *dehātmavādin*, too, if he is a man of sympathy, culture and discernment will devote himself to furthering the happiness of other body-souls, giving up his own happiness and accepting pain in the process. The community of *dehātmavādin* is, in fact, substantial, and among them we do find people who gladly use their wealth for the good of others, opening schools, hospitals and other such philanthropic institutions.

Some thinkersmight raise anew objection. In the doctrine of *dehātmavāda*, *adṛṣṭa* and *bhāvanā* are said to belong to *manas*. Now, during the state of *suṣupti* (dreamless sleep) *manas* enters the organ called *purītat* (an organ near the heart) which is mentioned in the Upanisads. If this is true, then it will be impossible to explain how the body still keeps breathing during *suṣupti*. To account for this one must accept the existence of a distinct *ātman* which causes the body to keep breathing during that state, an *ātman* which is also the dsraya of *adṛṣṭa* and *bhāvanā*.

The objection has no real strength. We believe that the contact between *manas* and the surface of the body (*tvak*) causes consciousness (*jñāna*) which is the basis of other conscious *guṇas* such as desire, revulsion and the like. During *suṣupti* consciousness becomes dormant; and, therefore, desire, revulsion and such other *guṇas* also remain dormant. However, actions such as breathing, which are responsible for maintaining life in the body, do not depend upon consciousness. They depend on *adṛṣṭa* which does not become dormant. Even when the *manas* enters the physical organ called *purītat, adṛṣṭa* actively keeps up such movements in the body which are responsible for breathing as well as other such movements that are the basis of life.

ANSWER OBJECTION. The *dehātmavādin* cannot really explain all of man's actions in terms of their fruits. The actions performed by a man towards the end of his life do not give rise to results during the life time; and, therefore, such actions are bound to remain fruitless and thus meaningless if we accept the doctrine of *dehātmavāda*. Why should aman, then, engage in such actions?

ANSWER. The *dehātmavādin* believes that the fruit of a man's actions need not accrue to him alone but can accrue to others who survive him. In this manner, actions performed by a man towards the end of his life can also have their fruit. It is wrong to say that man acts only for his own good. He also acts for the good of others as is, indeed, clear from the actions of men. It cannot be said that those men, who perform actions aiming at the good of others, do so with the purpose that, if their actions are not fruitful during their own lifetime then the merit (*puṇya*) resulting from them will yield them fruit in subsequent lives (*janmāntara*). For it is seen that people, who believe that this life is all that we have and that there is no *janmāntara*, yet engage in good deeds throughout their life, the results of which are enjoyed by others.

FRESH OBJECTION. There is another argument that can establish the existence of *ātman* as distinct from the body. The argument is as follows: 'The body being an assemblage of parts is meant for the sake of another like a bed which is a similar assemblage.' The existence of the body, according to this argument, establishes the existence of *ātman* for whose sake it is assembled. This argument cannot be answered by a mere battery of words or by subtle casuistry. Yet, we do have an answer. The objection is, in fact, neither clear nor cogent. The notion 'for the sake of another' (*parārtha*) is not a clear notion. If 'for the sake of another' means 'for the enjoyment of another distinct from itself, then it is difficult to see how the argument can prove the existence of a separate *ātman*

through the example of the bed. For, even if a bed is meant for another, it is difficult to see why this 'another' should be the *ātman*. We can take this 'another' to be the body. The *ātman* doctrine, however, cannot agree to this interpretation, since it does not believe that a body can be an enjoyer. But, then, if 'for the sake of another' is taken to mean 'that which does not itself enjoy but is meant for the enjoyment of another', then, too, the argument wittfail. It will not serve thepurpose of the *ātman* doctrine, for it will fail to apply to the body. Because (as we believe) the body as a whole is distinct from a mere aggregate of its parts, it will not be proper to call it a mere 'assemblage'. If, in order to save the argument, we modify our argument and say 'the body is for the sake of another, for it is a created object', then, too, the argument will remain unconvincing. Any created object, which is meant 'for the sake of another', has to be a *jaḍa* object, something made up of dead matter; but the body, though admittedly a created object, is not a *jaḍa* object, and is thus not 'for the sake of another'.

ANOTHER OBJECTION. *Dehātmavāda* makes activities such as performing Vedic sacrifices pointless.

ANSWER. This is not really true. Firstly, because in our doctrine sacrifices such as *putreṣṭi*, which aim at bearing fruit in this very life, do retain a purpose. Secondly, sacrifices which are said to result in the attainment of *svarga* can also be meaningfully performed by a *dehātmavadin*, because *svarga* is said to be an object desirable for everyone; and so a *dehātmavādin*, too, can desire it and so perform sacrifices that aim at its attainment. However, it may yet be said that, according to *dehātmavāda, svarga* cannot really be attained since it is not attainable by a body. This is certainly true, but it does not constitute a major objection. Firstly, because sacrifices may be performed for the enhancement of one's prestige, if not for *svarga*; secondly, results of sacrifices which aim at a mundane fruit can be

attainable by a body which may not always be the present body, but will still be the home of the same transmigrating *manas* in another life. Many sacrifices, moreover, are meant for the benefit of others; *dehātmavāda* quite approves of these, because, as we have said earlier, it is human nature to engage in actions which result in the good of others.

A FURTHER OBJECTION. It is not really possible to conceive of *punarjanma* (transmigration) in the *dehātmavāda* scheme.

Our answer to this is that, even in the doctrine of a distinct *ātman, punarjanma* is impossible to conceive of, for it presents the same problems of identity as it does in *dehātmavāda*. If all we mean by punarjanma is that the same *ātman* comes into contact with a new body through a *vijātiya-saṁyoga* relation, thus maintaining identity through different lives, then such an identity in which the *same* person is said to be reborn is conceivable in *dehātmavāda* too, because we believe that the *manas* continues to exist after the death of the body. *Manas*, in our view, is the *āśraya* of *adṛṣṭa* through which it acquires contact with a new body and is thus reborn. The theory of *punarjanma* can, in this sense, be upheld even within our framework.

OBJECTION. The doctrine of *bandha* and mokṣa (of being fettered to *samsāra* and of liberation in *mokṣa*) becomes meaningless in *dehātmavāda*.

OUR ANSWER: *Bandha* is just another name for engaging in actions which cause *adṛṣṭa*. The *adṛṣṭa* , then, leads to results which can only be experienced in a new life through a new body. Such a conception of *bandha* is quite tenable in *dehātmavāda* too. And moksa after, all is nothing but the absence of *bandha*. We believe that a body whicti has not realized its own body-soul nature through yoga should be called *baddha* (fettered to the world of transmigration); for such a

body continues to perform actions which result in *adṛṣṭa* leading to fruits that have to be enjoyed in a new life. But a man who has realized his body-soul nature does not engage in such actions, and is thus 'free' or 'liberated'.

FURTHER OBJECTION. *Dehātmavāda*, in fact, cannot avoid the view that after death both *baddha* (bound) and free persons are really reduced to naught without a trace; so there is no real difference between being *baddha* and being free. Why should, then, any 'body-soul' strive for the realization of truth, giving up the pursuit of palpable sensory pleasures?

Such an objection, we must say, can be brought against the theory of a distinct soul also. For, in that doctrine too, the liberated soul is no different from being totally dead or extinguished (*mṛtopama*).

OBJECTION. There appears to be no real point in positing the new doctrine of *dehātmavāda*. For all that this doctrine has to say is that an evercontinuing *(nitya) manas* keeps transmigrating from one body to another, bearing *adṛṣṭa* and *saṃskāra* acquired through experiences in an earlier body; that the new bodies into which this *manas* transmigrates serve merely as vehicles for remembering experiences of the older bodies and for experiencing the results of actions done through them.

ANSWER. I am sure that this much will be generally granted that our position is an improvement in terms of economy of thought on the traditional Nyāya-Vaiśesika doctrine, which posits an infinite numbers of all pervading (*vibhu*) souls. The doctrine of distinct and separate *ātman* has also much else that is cumbersome resulting in an unnecessary *gaurava* (multiplication of entities and relations) in thought. It, first, posits an endless array of allpervading souls, and then is forced to conceiye of infinite relations over infinite moments

with infinite substances and forms into which these souls enter. Our doctrine avoids such cumbersomeness.

Moreover, the doctrine of a separate *ātman* cannot avoid taking an amoral stance regarding human action. Since, in that view, men are determined totally by their previous *karmas* and their *adṛṣṭa*, they are powerless against exploitation and tyranny. The *ātman* doctrine does not permit men to do anything about such things, for they are not free to do so. They are not free to remove inequalities from any given social and economic set-up, nor can they fight against a cruel government indifferent to the welfare of its subjects. *Dehatmavāda* is open to the idea that new action can be undertaken by a new body-soul. No earlier karma is powerful enough to constrain a man to acquiesce passively in the exploitation of one man by another under the belief that this is an inevitable result of earlier *karma*. The community of *dehātmavādins* is free to engage in actions aiming at changing the present conditions and creating a more just social and economic order beneficial to them all. They are free to create a more beautiful world.

OBJECTION. This is mere wishful thinking, for *dehātmavāda* will actually encourage people to seek their own selfish ends without caring for others. Self-seeking is a common human failing; and if one is not made responsible for one's actions beyond death, then there will be no reason for a man to desist from seeking his own selfish ends without caring for the suffering and exploitation of others.

Such considerations, however, need not antagonize us towards *dehātmavāda*. The moving spirits behind selfless actions are great selfless men of the past. The prestige that is attached to their great deeds aimed at the common good, and the reverence shown to them in history books should be enough to give rise to a similar impulse in others.

Another commendable thing about *dehātmavāda* is that it can influence people to improve themselves in this very life, since improvement in an afterlife is not possible. Listening to the great tales of great men, a *dehātmavādin* will be moved to try and improve himself in this very life. In the *ātman* doctrine, the temptation of postponing a good action and leaving it for another life is very strong. A man is more likely to pursue mean and selfish ends under that scheme than under *dehātmavāda*. *Dehātmavāda* is, consequently, not only more rational but also more moral.

TRANSLATOR'S NOTES

My translation is an attempt to present to the philosophically inclined English reader a nontechnical version of Badrinathji's Sanskrit essay. Badrinathji was a philosopher of great originality—as this essay, I think, also evincesr—but being a Navya-Naiyāyika, he assumed a knowledge of Navya-Nyāya technical vocabulary in his readers. This was natural enough, since not only Navya-Nyāya but a great deal of intellectual writing in Sanskrit assumes such a knowledge. Most disciplines in Sanskrit that touch upon philosophy —and few do not—have been using Navya-Nyāya vocabulary and techniques for the sake of a clearer articulation of concepts.

I have not tried to translate these technicalities. Attempting a closer technical translation of Badrinathji's essay would have presented hurdles which we ar6 not yet quite able to crosSt There is no satisfactory standard English version of Navya-Nyāya vocabulary and modes of expression. And even if we were to have one, it would need years of scholarly and creative cultivation before it can become really entrenched. As it is, those who can read Navya-Nyāya in some kind of translationese, can also understand Sanskrit. Such people will discover that my English version is lacking in certain other ways, too. I have, for example, not translated a quotation or two from Navya-

Nyaya texts which Badrinathji's original includes. Badrinathji assumes a close and easy familiarity with the texts he quotes. To the English reader, not familiar with the Navya-Nyāya *paramparā*, the quotations, I think, would have sounded merely scholastic, and redundant at that. Badrinathji, moreover, has no footnotes. This is a modern habit, but sometimes useful. I have resorted to it atone place (fn. 2) where I felt that what Badrinathji had to say was intended to be in a kind of parenthesis.

On the whole, however, I have tried to remain as close to the original as possible, following the steps of the argument as it moves.

NOTES AND REFERENCES

1. *Bhāvand* in *Nyāya* is another name for *saṁskāra*, a property of the soul that makes it possible for experience to leave its impression or traces upon the soul. The term *saṁskāra*, however, has a larger application; it applies not only to conscious *jīvas*, but also to 'dead' matter—*vega* (speed) thus is a *saṁskāra* of wind (*vāyu*). It is through *bhāvanā* that memory becomes possible. *Bhāvanā*, in turn, cannot be directly perceived, but only inferred from the fact of memory.

2. Let us take an example. The Mīmāṁsakas make the following analysis of the process of inference. Inference, they say, is a result of two discrete cognitions: (1) *Sādhyavyāpyo hetuḥ* (the *hetu*—that through which one wishes to prove, the middle term, is pervaded by the *Sādhya*—the 'cause' of the *hetu*, the major term); and (2) *hetumān pakṣaḥ* (the *pakṣa*—the locus—possesses the *hetu*). The Naiyāyikas, who disagree with the Mimāṁsakas concerning the proper analysis of the process of inference, yet agree with them that these cognitions do arise. But they argue that it is unnecessary to accept two separate cognitions in order to characterize correctly the process of how inference is caused. A single cognition, they say, will do, namely, *Sādhyavyāpyahetumān pak ṣaḥ* (the *pakṣa* possess the *hetu* which is pervaded by the *śādhya*). The Mīmāṁsaka has no quarrel with the Naiyāyika concerning the fact that such a cognition does occur; he differs as to its relevance to a proper analysis of how inference arises.

    The Naiyāyika analysis, we say, is to be preferred, because it has the virtue of 'economy' (*lāghava*). Naiyāyikas further argue that their acceptance of a single cognition as the cause of inference has another virtue. Recognizing two *separate* cognitions as necessary for the rise of inference can result in a problem. Inferences arise in. human beings. If we grant the necessity of two separate cognitions for it to arise, then our analysis will not be able to negate cases where two *different* persons might each have *one* of these cognitions. In order to avoid this difficulty, the *Mimāṁsaka*

might make the move of inserting a further stipulation in his analysis, namely, 'The two cognitions necessary for inference to rise must be possessed by the same person.' This will only result in further cumbrousness in his analysis. For it will then become necessary to make a *separate* causal analysis for each different case of the occurrence of the *same* inference.

A similar problem occurs in the analysis of *śābdabodha* (understanding language). All Naiyāyikas agree that for *śābdabodha* to occur a knowledge of *yogyatā* is a necessary condition. *Yogyatā* is a kind of existential constraint and must be observed in using language: thus a usage such as 'wets with fire' lacks *yogyatā*, for 'wetting' and 'with fire' do not, in fact, go together, and this *fact* renders the sentence meaningless. Any philosopher defining *śābdabodha* must be careful to include the knowledge of *yogyatā* as one of the necessary factors within the body of the definition itself. Otherwise the same kind of difficulty that we spoke of earlier in connection with defining how inference arises will pose a hurdle: the knowledge olyogyata in one man, will not be able in our definition to prevent the rise of *śābdabodha* in another. The definition will become cumbersome.

3. The parenthesis is to make the point clear. It is not part of the original.

4. This objection perhaps needs a clarification. In the *dehātmavāda* view, the body is a material substance and *guṇas* such as *buddhi*, desire, effort and the like, inhere in it as *general guṇas*. Badrinathji likens these *general guṇas* to *guṇas* such as form (*rūpa*). The *manas* becomes associated with *buddhi*, desire, effort and such general *guṇas* indirectly, through its association with the body. The *general guṇas* of the body are destroyed with the body. The *manas* which is a category apart, is not destroyed and becomes attached to another body. The problem with this view which Badrinathji anticipates in this objection can be stated in terms of two related questions. One, since the *general guṇas* are so conceived that any material substance can have them, how is it that only a human body has them? And two, since the *manas* becomes associated with the *general guṇas* only through its association with a material substance, why is it that such an association takes place only in the human body and not in other material substances such as a jar or a piece of cloth.

Gerald James Larson An eccentric ghost in the machine: Formal and quantitative aspects of the Sāṁ khya-Yoga dualism

Within the "grammar" of dualisms in the history of philosophy, the classical Sāṁrhkhya position appears to be something of an anomaly. The Sāṁkhya is a bit like the *nitya-samāsa* in Sanskrit composition, that is to say, a compound that cannot be analyzed according to the conventional rules. By this I mean that the Sāṁkhya does not fit the usual or conventional notions of dualism. If one looks, for example, at the classic expression of the dualist position in Western thought, namely that of Descartes, one realizes immediately that the Sāṁkhya somehow misses the mark. In his *Principles of Philosophy* Descartes comments as follows about the dualist problem:

Extension in length, breadth and depth constitutes the nature of corporeal substance; and thought the nature of thinking substance. For every other thing that can be attributed to body presupposes extension and is only some mode of an extended thing; as all the properties we discover in the mind are only diverse modes of thinking (cited in K. Nielsen, Reason and Practice, 1971, p. 332, I: liii).

In his *Meditations* Descartes sets forth the essence of the dualist perspective as follows:

Because on the one hand I have a clear and distinct idea of myself, in as far as I am only a thinking and unextended thing, and so on the other hand I possess a distinct idea of body, in as far as it is only an extended and unthinking thing, it is certain that I, that is my mind by

which I am what I am, is entirely and truly distinct from my body and may exist without it (Nielsen, VI).

A more recent statement of the conventional dualist position is that of the analytic philosopher Kai Nielsen, who puts the matter as follows:

The core of the dualist claim... could... be put in this way: There are at least two radically different kinds of reality, existence or phenomena: the physical and the mental....Physical phenomena or realities are extended in space and are perceptually public or, like electrons and photons, are constituents of things that are perceptually public....Mental phenomena or realities, by contrast, are unextended, not in space, and are inherently *private* (Nielsen, p. 333).

Whether one considers the Cartesian position or, according to Kai Nielsen, the modern, analytic restatement of it, the interpreter of Sāṁhkhya must admit that the Sāṁkhya is *not* a dualism in these senses. Similarly, if one considers the theological or ethical dualism of Christian thought—*à la* Pauline theology or later treatments such as those of Augustine, and so forth—again, the interpreter of Sāṁkhya must say that Sāṁkhya is not a dualism in these senses. Similarly, if one considers the dualistic analyses in Plato or Aristotle, or the Kantian dualism of noumena and phenomena, or a phenomenological dualism of *noesis* and *noema*, the Sāṁkhya is not really dualist in any of these senses. Even within the framework of Indian philosophy, the garden-variety dualisms of the later Vedānta schools or the older archaic *jīva-ajīva* dualism of the Jains does not adequately fit the Sāṁkhya case.

Indeed, vis-à-vis all of these positions, I am inclined to argue that Sāṁkhya represents a critique of the traditional or conventional dualist position and approaches, rather, the opposite position, or what modern Western philosophy of mind would call "reductive

materialism," that is to say, a philosophical view which "reduces" "mind"-talk or "mentalistic"-talk to "brain-process"-talk or, in other words, construes mind, thought, ideas, sensations, and so forth, in terms of some sort of material stuff, or energy, or force (as has been argued, for example, by H. Feigl, J. J. C. Smart, Kai Nielsen, and others). For, according to classical Sāṁkhya, the experiences of intellect (*buddhi*), ego (*ahamkāra*), and mind (*manas*), and the "raw-feels" such as "pain" (*duḥkha*) or "pleasure" (*sukha*)—or, in other words, what conventional dualists would consider to be "inherently private"—are simply subtle reflections of a primordial materiality (*prakṛti*)—a primordial materiality undergoing continuous transformation (*pariṇāma*) via its constituent modalities of externalizing activity (*rajas*), reflexive discriminating (*sattva*), and reifying objectivation (*tamas*). Thus, the modern reductive materialist's claim that "sensations are identical with certain brain processes" would have a peculiar counterpart in the classical Sāṁkhya claim that "awarenesses" (*citta-vṛttis* or *antaḥkaraṇa-vḥttis*) are identical with certain *guṇa*-modalities. Or, again, the modern reductive materialist's claim that the conventional notions of "the inherently private" or "the mental" are only linguistic fictions which inhibit a more correct understanding of the human situation would find its peculiar counterpart in the classical Sāṁkhya claim that the notion of the discreet "individual" or the "individual ego" seriously inhibits a more correct understanding of the basically "dividual" and "transactional" environment in which "human existence" occurs (to use McKim Marriott's idiom). Both positions, in other words, appear to criticize the notion of an inherently private, mentalistic "ghost in the machine" as being a product of verbal carelessness (*vikalpa*) brought about by the failure to make relevant distinctions (*aviveka* or *avidyā*).

Alas, however, the comparison of Sāṁkhya philosophy with reductive materialism quickly breaks down, for instead of expelling the traditional or conventional "ghost in the machine" and getting on with the task of describing the world without "ghost"-talk, Sāṁkhya, as it were, refurbishes the "ghost," stripping it of its conventional attributes and reintroducing it as what I am calling in this paper "an eccentric ghost," eccentric in the sense that it no longer has anything to do with "mind"-talk or "mentalisf"-talk or "ego"-talk, all of which latter are fully reducible to *guṇa*-talk in good reductive materialist fashion. Sāṁkhya designates its "eccentric ghost" as "consciousness" (*puruṣa*), thus necessitating the differentiation of "awareness" (*citta-vṛtti* or *antaḥkaraṇa-vṛtti*) from "consciousness" (*puruṣa*) and requiring a radically different kind of dualism, namely, a dualism between a closed causal system of reductive materialism (encompassing "awareness" or the "private" life of the mind), on the one hand, and a nonintentional and contentless "consciousness," on the other. It thereby rejects idealism without giving up an ultimately transcendent consciousness. It rejects traditional or conventional dualism by reducing "mentalist"-talk to one or another transformation of material "awareness"; and it corrects reductive materialism by introducing an "eccentric ghost in the machine" which is nonintentional and has nothing to do with ordinary mental awareness. It is a classic case of a philosophy that wants to have its idealist/realist/materialist cake and eat it too! Whether or not Sāṁhkhya philosophy is finally successful, of course, is open to debate and interpretation—the Indian tradition itself, it should be noted, took a rather dim view of it—but I would argue that it raises some interesting philosophical issues that may still be relevant in current discussions within the philosophy of mind.

As is well-known, it is difficult to trace the origins of this peculiar Sāṁhkhya dualism and its "eccentric ghost in the machine", since

detailed texts that lay out the basic arguments and methodology of the system are simply not available from any period. What remains are summaries and digests of the system (for example, the *Sāṁkhyakārikā*, the *Tattvasamāsa-sūtra*, and the very late *Sāṁkhya-sūtra*, together with a variety of commentaries the great majority of which are generally useless). Also, there are various attacks on Sāṁkhya by various other schools of Indian philosophizing, some of which can be used to reconstruct some of the details of the system; yet the highly polemical environment in which these discussions occur can hardly reassure the student of Sāṁkhya that he or she is getting a fair account of the system. K. C. Bhattacharya has expressed the matter well:

Much of Sāṁkhya literature appears to have been lost, and there seems to be no continuity of tradition from ancient times up to the age of the commentators.... The interpretation of all ancient systems requires a constructive effort; but while in the case of some systems where we have a large volume of literature and a continuity of tradition, the construction is mainly of the nature of translation of ideas into modern concepts, here in Sāṁkhya the construction at many places involves supplying of missing links from one's imagination. It is risky work, but unless one does it one cannot be said to understand Sāṁkhya as a philosophy. It is a task that one is obliged to undertake. It is a fascinating task because Sāṁkhya is a bold constructive philosophy (*Studies in Philosophy*, 1956, I:127).

Recently in my own attempts at the "supplying of missing links" I have been exploring various formal or quantitative "paradigms" in the interpretation of classical Sāṁkhya, mainly because the term *sāṁhkhya* itself appears to be related to the notion of "number" or "enumeration" and because the extant texts of the system present elaborate enumerations in what appears to be a paradigmatic fashion. The problem, of course, is one of identifying the sorts of

paradigms that the ancient Sāṃkhya *ācāryas* had in mind. Unfortunately, as Karl H. Potter and others have observed, Indian philosophy generally (including Sāṃkhya philosophy) makes no clear distinction between analytic and synthetic statements or a priori and a posteriori judgments as in classical and modern Western logic, and, therefore, whatever formal or quantitative paradigms there are in Indian philosophy cannot be directly related to what one might consider to be an obvious source for formal paradigms, namely, traditions of Indian logic. To be sure, there are some fascinating relations between Sāṃkhya and ancient Indian logic, and Randle has suggested that the earliest reflections in India on the nature of inference can be traced to Vaiśeṣika and Sāṃkhya philosophy. Nevertheless, the Sāṃkhya enumerations are not primarily intelligible in terms of the standard categories or paradigms of Indian logic, or, putting the matter another way, Sāṃkhya philosophy does not appear to be directly relevant to the standard issues and problems of Indian logic. The basic thrust of the system would appear to be in quite a different direction.

Formalism, however, is not solely or perhaps even primarily the turf of the field of logic, as modern structuralism has taught us. Such divergent fields as physics, mathematics, music, psychology, anthropology, and linguistics have all benefitted and advanced via systems theory, semiotics, structural analysis, and other varieties of formal analysis, and it is to be noted that ancient India made some interesting contributions in most of these fields. Indeed, one could easily mount an argument that India's most important contributions to knowledge were not really in the areas of logic or technical philosophy but, rather, in such areas as grammar, phonology, mathematics, psychology, and anthropology.

In any case, in an attempt at the "supplying of missing links" for the interpretation of classical Sāṃkhya and, specifically, for the

interpretation of Sāṁkhya's "eccentric ghost in the machine" (namely, *puruṣa*), I want to call attention to three distinct (yet related) paradigmatic approaches to the Sāṁkhya enumerations, namely,

(a) a "mathematical" paradigm;

(b) a "linguistic (phonological and grammatical)" paradigm; and

(c) a "dyadic" or "contrastive feature" paradigm.

By "paradigmatic approaches" I mean metaphors of modelling that may have been used by the Sāṁkhya *ācāryas* as they pursued their speculative philosophizing. I am not suggesting, in other words, that Sāṁkhya is a form of mathematics, or a form of grammar, or a form of structuralist or "dyadic" analysis. I am suggesting, rather, that the ancient Sāṁkhya *ācāryas* may have used patterns or models such as these as heuristic metaphors for organizing their thought. (It is conceivable, of course, that the Sāṁkhya *ācāryas* were themselves personally unaware that paradigms or models such as these related to their style of thinking. That would not disprove the validity of such paradigmatic approaches, however, any more than a native speaker's ability to speak a language fluently and correctly is related to the speaker's knowledge of the formal grammar of the language. That is to say, a native speaker may speak quite correctly without any knowledge of the grammar.)

(*a*) *The* "*mathematical*" *paradigm*. All traditions of Indian learning proceed by making lists of things—for example, in astronomy, phonology, grammar, medicine, prosody, philosophy, logic, mythology, meditation, and so forth. The student of ancient Indian learning soon grows weary of this particular cultural predilection—a predilection typical, to be sure, of many ancient cultures but perhaps carried to an extreme in India. Ancient India was obsessed with numbering. Even in love-making (*Kama-sūtra*) there is a set number of permissible postures, a set number of aphrodisiacs, a set number

of useful flirtatious gestures, and a set number of techniques for arousing a lover. To a large extent, of course, enumerations are useful devices for preserving oral traditions of learning, and undoubtedly most enumerations are quite arbitrary and conventional mnemonic devices. Should anyone doubt this, I would simply invite the doubter to read any of the dreadful Abhidhamma books of the Buddhist Pali Canon—an exercise in reading very much like reading the Santa Barbara or Stony Brook telephone directory!

In some instances, however, patterns of enumeration become more than arbitrary mnemonic devices. In Pāṇini, for example, rules are enumerated in a precise order so that the sequence of numbering is related in important ways to the application of grammatical rules. Or again, as E. G. McClain and A. T. de Nicolás have argued, obscure Vedic numberings appear to be related to certain common ratios in musical acoustics (when reduced to simple whole numbers). Moreover, certain numbers appear again and again —for example, certain square numbers such as 25 (the Sāṁkhya *tattvas*), 36 (Kaśmir Śaivism), 49 (the letters of the Sanskrit "alphabet"), 64 and 81 (the number of Yoginīs in Indian iconography), and so forth. Interestingly also—as was pointed out to me by Thomas Hopkins of Franklin and Marshall College—if one multiplies 1^1 by 2^2 by 3^3 one gets $1 \times 4 \times 27$ or "108," one of the most common "symbolic" numbers in Indian literature.

Regarding the Sāṁkhya system, for many years I had ignored the specific enumerations and had more or less followed along with the traditional view that the enumerations were only arbitrary mnemonic devices. While working with the *Tattvasamāsa-sūtra*, however, in recent years—a text which contains only twenty-five short numerical utterances—I began to wonder if the pattern of enumerations had additional significance beyond that of mnemonic convenience, an additional significance perhaps on analogy with Pāṇnini's pattern of

enumeration. I therefore began to play with the Sāṁkhya numbers, reducing larger numbers to smaller numbers (and operating with the methodological principle that only those numbers that actually appear prominently in actual Sāṁkhya texts could be used in the "game"). What finally emerged, interestingly, was not related to Pāṇini's sequences but was related, rather, to a phenomenon in the field of mathematics. That is to say, there is a clear preference or predilection in Sāṁkhya philosophy for the sequence of prime numbers (numbers whose factors are only themselves or 1), namely, 2, 3, 5, 7, 11, 13, 17, 19, 23, and so forth. Moreover, between 1 and 100 there are exactly twenty-five prime numbers, and, of course, according to classical Sāṁkhya philosophy, there are twenty-five basic *tattvas* or fundamental principles. All numbers presuppose number 1, and the number 1, therefore, must perforce be the *mūlaprakṛti;* and the sequence of Sāṁkhya "entities" can be exhibited as follows:

(1) *mūlaprakṛti* (and implicit in *prakṛti* are the three *guṇas* that manifest themselves in pairings of 2 + 1);

(2) *buddhi* (with its twofold *bhāva*-structure);

(3) *ahaṁkāra* (with its threefold structure: *vaikṛta, bhūtādi, taijasa*);

(5) *tanmātras* (five subtle elements)

(7) five *tanmātras* + *buddhi* + *ahaṁkāra*, referred to as "the seven" in *Sāṁkhyakārikā* III;

(11) *indriyas*, including the five sense capacities, the five action capacities, and *manas* or "mind";

(13) *liṅga* or *karaṇa*, the thirteenfold instrument made up of *buddhi, ahaṁkāra manas*, and the ten sense capacities and which transmigrates from life to life;

(17) structure of *ahaṁkāra* when fully manifest (namely the elevenfold *vaikṛta-ahaṁkāra*, the fivefold *bhūtādi-ahaṁkāra*, and the one *taijasa-ahaṁkāra*);

(19) transmigrating entity empowered by *prakṛti* (namely, the thirteen-fold instrument + the five *tanmātras* + *prakṛti*, according to *Sāṁkhyakārikā* XLII; or, in its Vedānta variant as set forth in Śankara's *Bhāṣya* to the *Māṇḍūkya Upaniṣad*: "nineteen mouths," namely, the five sense capacities, the five action capacities, the five *prāṇas* + *manas* + *ahaṁkāra* + *buddhi* + *citta*; compare *Bhāṣya* in verse 2 of the *Māṇḍūkya*);

(23) the manifest world that emerges because of the co-presence of *prakṛti* and *puruṣa* (from "Brahmā down to a blade of grass," according to *Sāṁkhyakārika* LIV).

The twenty-fifth *tattva*, of course, is *puruṣa*, and the Sāṁhkhya texts describe the *puruṣa* as contentless consciousness whose presence allows *prakṛti* to become manifest. Given the number sequence that has emerged, there is, of course, only one possibility for *puruṣa*, namely, zero (0), a notion which was not only known to the ancient Hindus but possibly discovered by them. The notion of zero is necessary for all sophisticated calculation, yet it has the peculiar characteristic of not adding anything in any calculation. It is an irreducible principle necessary in any sophisticated theory of numbers, yet it is not clear, even in modern mathematics, if zero itself can be construed as a number.

From such a perspective, Sāṁkhya philosophy can be construed as generating the natural world utilizing a "mathematical" model or paradigm in a manner not unlike that of ancient Pythagorean philosophy. The number 1 is the source of all whole numbers, the primes being particularly important in that their factors are only

themselves and 1, with composite numbers being reducible to the primes. Such a perspective would suggest that the primes 2, 3, 5, 7, and so forth, could serve as building blocks, as it were, in a "numbered world," and this, of course, they appear to do in Sāṃkhya philosophy. One might also usefully compare the generation of the Sāṃkhya *tanmātras* and *mahābhūtas* (namely the so-called "accumulation theory") to the Pythagorean notion of the *gnomons* (the so-called "carpenter's squares") by means of which the sequence 1,2, 3,4, 5 generates the squares 1, 4, 9, 16, and 25. The perfect number 10 of the Pythagoreans also appears to have its counterpart in the 10 *cūlikārthas* or *mūlikārthas* of the Sāṃkhya. Implicit in such a "mathematical" approach to Sāṃkhya, of course, would be the corollary notion that the notion of "number" links up in some intelligible way with the notion of "subtle matter" or "thing" or "manifest entity," and here again a comparison with Pythagoreanism is relevant, for Pythagoreans wanted to correlate "numbers" with "things."

In any case, construing Sāṃkhya as a kind of archaic mathematical physics (on analogy with Pythagoreanism) may provide one useful avenue for attempting to decipher the nature of the peculiar Sāṃkhya dualism and its "eccentric ghost in the machine." (I have published portions of the foregoing analysis in an article entitled "The Format of Technical Philosophical Writing in Ancient India: Inadequacies of Conventional Translations," *Philosophy East and West* 30, no. 3 (July 1980): 375–380.)

(b) The "linguistic" paradigm. If ancient Indian traditions of learning were obsessed with numbers and enumerations, they were also almost as equally obsessed with language and grammar, and here again the paradigms or models of linguistic reflection provide some useful perspectives in interpreting the peculiar Sāṃkhya dualism and its "eccentric ghost in the machine." Some years ago (in an article

entitled "A Possible Mystical Interpretation of *ahaṁkara* and the *tanmātras* in the Sāṁkhya," in the *Sri Aurobindo* commemoration volume ((Pondicherry, 1972), pp. 79–87) I noted some striking similarities between Sāṁkhya philosophy and ancient phonological treatises (*śikṣā, prātiśākhya* literature, and so forth). I observed, for example, the appearance of Sāṁkhya-like terminology in phonological texts (for example, *prakṛti, vikāra, vyakta, saṁyoga, karaṇa guṇa, mātrā*, and so forth). I was especially interested in the terms *ahaṁkāra* and *tanmātra*, and I related *ahaṁkāra* to the notion *Oṁkāra* ("pronouncing or reciting Oṁ") and *tanmātra* to the notion of *mātrā*, a term referring to the length of time required for pronouncing a short vowel. A short vowel is one *mātrā*; a long vowel two *mātrās*; an elongated vowel three *mātrās*; a consonant or stop is 1/2 *mātrā*; 1/4 *mātrā* is an *aṇu* ("moment" or "atom"); and 1/2 *aṇu* is a *paramāṇu*. (See *Taittirīya Prātiśākhya* as discussed by W. H. Allen in his *Phonetics in Ancient India*.) As is perhaps obvious, I then related *ahaṁkāra* and the *tanmātras* to Oṁkāra and its *mātrās* as set forth in the little *Māṇḍīkya Upaniṣad* and other texts, arguing that *ahaṁkāra* and the *tanmātras* in Sāṁkhya seem to have roots in the old Upaniṣads and in environments where speculation centered around *mantras*, mystical syllables, and mystical sounds. Creation takes place by means of naming, speaking, uttering sounds. The *mūlaprakṛti* would then be potential sound or unmanifest sound. The manifestations of *prakṛti* would be, on one level, various series of sounds and combinations of sounds. Also, the method of achieving *kaivalya*, described in *Sāṁkhyakārikā* LXIV as *tattvābhyāsa*, may echo a similar environment. *Abhyāsa* means "study," "analysis," and so forth, but it also means "repetition" or "repeated recitation." By repeatedly reciting the *tattvas* one gradually comes to know the basis of creation of emergence itself, the creative pattern of sounds. The *puruṣa* principle would then be that which transcends all sound

—passive, empty silence which is yet the background and presupposition of all sound distinctions.

Recently I have been attempting to take such a "linguistic" paradigm a bit further into the area of grammar and speech itself, and I have found some further useful perspectives for thinking about the Sāṃkhya dualism and the "eccentric ghost in the machine." As is well-known, Sāṃkhya asserts that intellect (*buddhi*), ego (*ahaṃkāra*), and mind (*manas*)—in other words, *antaḥkaraṇa-vṛtti* or *citta-vṛtti*—are manifestations of *guṇapariṇāma* (the "transformations" or activity of *sattva, rajas*, and *tamas*) but have nothing whatever to do with *puruṣa*. Consciousness (*puruṣa*) is simply "present" (*sākṣitva*) to *antaḥkaraṇa-vṛtti* or *citta-vṛtti*, and the only interaction is one of mutual reflection. Consciousness is described as being wholly inactive (*akartṛbhāva*), and it is described as being wholly uninvolved in the transactions of *antaḥkaraṇa-vṛtti* (or, in other words, the transactions of *buddhi, ahaṃkāra*, and *manas*). All interpreters have agreed (not only modern Western scholars but ancient Indian thinkers as well) that this is a peculiar way of thinking about consciousness, and, more than that, that it appears to be rather absurd on the face of it. It may not be so absurd, however, if the Sāṃkhya *ācāryas* were thinking about the basic *tattvas* from the perspective of a certain grammatical paradigm or model having to do with the basic structure of nouns and verbs in a sentence. The paradigm or model I have in mind relates to nominal inflection in Sanskrit in which the Sanskrit grammarians make a distinction between what they call *vibhakti* (case endings) and *kāraka* (case relationships). There are eight cases in Sanskrit (nominative, accusative, instrumental, dative, ablative, genitive, locative, and vocative). The case endings or case terminations are as follows:

prathamā—"first"—nominative

> *dvitīya*—"second"—accusative
> *tṛtiya*—"third"—instrumental
> *caturthī*—"fourth"—dative
> *pañcamī*—"fifth"—ablative
> *ṣaṣṭhī*—"sixth"—genitive
> *saptamī*—"seventh"—locative
> "eighth"—vocative (although most grammarians denied that the "eighth" is really a "case")

These case endings, or terminations, however, must be clearly distinguished from what the grammarians called "case relationships" or *kārakas*. Although there are seven case terminations (or eight, if one counts the vocative), there are only *six* essential case relationships—a case relationship being the manner in which the nouns and adjectives in a sentence relate to the verbal action of the sentence. The six essential case relationships or *kārakas* are as follows:

> *kartṛ*—nominative or subject of the action
> *karman*—accusative or object of the action
> *karaṇa*—instrumental or instrument or means of the action
> *sampradāna*—dative or recipient of the action
> *apādāna*—ablative or ablation of the action
> *adhikaraṇa*—locative or location of the action

The *kāraka* expresses what a sentence "does" or how it acts or functions. What is to be said, then, about the so-called "sixth case" or genitive? Interestingly, according to the Sanskrit grammarians, it has no *kāraka*—it is in no way related to the verbal action of the sentence. The sixth case or genitive only relates one *thing* to another, and it is wholly uninvolved in the action of the sentence. It is called

simply the *sambandha* or the case of mere relation. Extrapolating from this grammatical paradigm, the Sāṁkhya *ācāryas* may have been thinking about *buddhi, ahaṁkara*, and *manas* as being involved in the transactions of *prakṛti*— the "verbal action," as it were, of *guṇapariṇāma*—and thereby having *kāraka*-functions within the transformations of the manifest world. Consciousness or *puruṣa*, however, has nothing whatever to do with the transactions of *prakṛti* and is only present (*sākṣitva*) to *prakṛti* as mere relation. An intriguing piece of evidence for this kind of linguistic paradigm or model is the old Sāṁkhya claim that inference has to do with certain kinds of real relations between entities. In the *Jayamaṅgalā*, for example, reference is made to an old Sāṁkhya interpretation of "inference" as relating to "seven basic relations" (*sapta-sambandha*):

(1) *sva-svāmibhāva-sambandha*—possessor and possessed
for example, a king and his subject

(2) *prakṛti-vikāra-sambandha*—principal and secondary
for example, barley and groats

(3) *kārya-kārana-sambandha*—effect and cause (material)
for example, cow and calf

(?) (4) *pātra-pātrika-sambandha*—measure and measured
for example, stick and what it measures (perhaps whole and part)

(5) *sāhacarya-sambandha*—companionship or association
for example, a pair of *cakravāka* birds

(6) *pratidvandvi-sambandha*—opposition or hostility
for example, cold and heat

(7) *nimitta-naimittika-sambandha*—efficient cause and effect
for example, eater and eaten (*Jayamangalā* on Kārika V).

Dignāga, Kamalaśīla, and other Buddhist philosophers also make reference to an old Sāṃkhya notion of "seven basic relations" (*sapta-sambandha*), and their listings of the basic relations, though somewhat different in terms of examples, are basically in keeping with the above list from the *Jayamangalā*. Of these seven relations, only the first is typical of the relation between *puruṣa* and *prakṛti*; the other six are all internal relations within *prakṛti* (either in terms of the analytic distinction between "whole" and "part" or in terms of the synthetic distinction between "cause" and "effect"). Quite apart from the sophistication or lack thereof in this kind of characterization of inference (and it must be admitted that Indian philosophy soon moved beyond the discussion of inference in terms of real relations), the Sāṃkhya discussions of the *sapta-sambandha* indicate that the ancient *ācāryas* may have been philosophizing with one eye, as it were, on models of thinking derived from traditions of grammatical categories and paradigms. Consciousness or *puruṣa*, then, is that entity which has no relation to the verbal action of the world but is in a relation of mere presence very much like that exhibited by the sixth or genitive case.

(*c*) *The "dyadic" or "contrastive feature" paradigm.* The third possibly productive approach to understanding the peculiar Sāṃkhya dualism and its "eccentric ghost in the machine" is to look at the basic Sāṃkhya inferences (set forth in the first twenty or so of the *kārikās*) from the perspective of a kind of "structuralist" analysis. Here I am not so much referring to a model or paradigm used as a metaphor as I am to what appears to be the actual methodology of Sāṃkhya thinking. It clearly resonates to the paradigms to which I have already referred (namely the "mathematical" and the "linguistic"), but there appears to be no source for it other than the Sāṃkhya texts themselves. Possibly it is a unique Sāṃkhya approach and represents Sāṃkhya's peculiar contribution to India's philosophical heritage.

The actual contents of the Sāṃkhya inferences (which are mainly of the *sāmānyato-dṛṣṭa* type) are reasonably clear and may be found described in any number of textbooks on Indian philosophy. What is perhaps not so clear is how the various inferences and basic Sāṃkhya notions relate to one another. Unfortunately, again, there is precious little information in the texts and commentaries regarding this problem, and one must proceed by reconstructing possible scenarios from what is actually available. The only test for such reconstructions is whether or not they render the system as a whole more coherent.

What is most striking to the careful reader of the Sāṃkhya texts is the tendency towards dyadic or contrastive analysis. Dyads, polarities, oppositions, and contraries appear everywhere, so much so that it becomes clear, as already indicated, that dyadic or contrastive feature analysis represents a kind of overall methodology in the system. Some of the more important of these dyads are the following:

(1) *avyakta/vyakta* (unmanifest/manifest)

(2) *prakṛti/vikṛti* (creative/created)

(3) *sāttvika buddhi/tāmasa buddhi* (discriminating intellect/reifying intellect)

(4) *dharma/adharma* (virtue/lack of virtue)

(5) *jñāna/ajñāna* (knowledge/lack of knowledge)

(6) *vairāgya/avairāgya* (dispassion/lack of dispassion)

(7) *aiśvarya/anaiśvarya* (power/lack of power)

(8) *sāttvika ahaṁkāra/tāmasa ahaṁkāra* (discriminating egoity/reifying egoity)

(9) *antaḥkaraṇa/bāhyakaraṇa* (internal organ/external organ)

(10) *apavarga/bhoga* (discriminating experience/ordinary experience)

(11) *nirupabhoga/upabhoga* (without experience/ordinary experience)

(12) *linga/bhāva* (inherited disposition/projecting disposition)

(13) *sūkṣma/sthūla* (subtle/gross)

(14) *sūkṣma-śarīra/sthśla-śarīra* (subtle body/gross body)

(15) *aviśeṣa/viśeṣa* (nonspecific/specific)

Moreover, even the triad of the *guṇas* is basically dyadic in structure inasmuch as the *guṇas* always relate with one another in ratios of two-plus-one, or, putting it in the framework of the manifest structure of reality, there is an ongoing polarity between *sāttvika* and *tāmasa* manifestations with rajas playing largely a mediating role ("... *taijasadubhayam*" Kārikā 25). *Sāttvika* manifestations become the reflexive, discriminating "awarenesses" characteristic of the properly functioning *buddhi* when internal or external objects of awareness or activities of awareness have been correctly assimilated. They manifest themselves in ordinary experience as feelings of joyous and quiet fulfillment (*śānta*). *Tāmasa* manifestations are the intentional and reified "objects" of awareness themselves (whether internal in terms of one's own self or ego being an object, or external in terms of subtle elements or gross objects). They manifest themselves in ordinary experience as feelings of alienation and reification (*mūḍha*). The *guṇa, rajas*, however, is not a manifestation at all, but is, rather, the externalizing process of life itself (*pravṛtti* or *karman*), which pervades ordinary human existence and generates feelings of discomfort (*ghora*) and a sense or feeling of tragic suffering (*duḥkha*) (or, as the *Yuktidīpikā* puts it: "*duhkham raja iti*"). All "private" and "public" manifestations or experiences, therefore, are more

adequately talked about simply in terms of the modalities of the *guṇas* (*guṇa-pariṇāma*, or, as the common refrain puts it: *guṇa guṇeṣu vartanta iti*). Then, too, all experiences and manifestations are construed in terms of *satkārya*, or the notion of causality that posits an identity between cause and effect (or *kāraṇa-kārya*). Both analytically and synthetically, therefore, we are dealing with a closed causal system of reductive materialism which can be rewritten in brief as "*guṇā guṇeṣu vartanta iti*" From an analytic point of view, every "component" of the system is a "part" of the totally functioning "whole" (and may well explain why the Sāṁkhya lends itself to a purely mathematical formulation as hinted at earlier). From a synthetic point of view, every empirical manifestation is an "effect" that is finally a mere modification of one ultimate, unconscious (*acetana*) material "cause" (*mūlaprakṛti*).

That the Sāṁkhya system is so tight as a closed causal system of reductive materialism led Debiprasad Chattopadhyaya to suggest in his book *Lokāyata* (third edition, Calcutta, 1973) that originally Sāṁkhya indeed was a pure materialism derivative of an archaic, matriarchal, Tantric milieu. The notion of *puruṣa*, or what I am calling the "eccentric ghost in the machine" was a later interpolation into the system when Indian intellectual life came to be dominated by patriarchal and largely Vedāntin notions of male consciousness.

Be that as it may, the extant classical Sāṁkhya texts clearly make reference to *puruṣa* or "consciousness" as "something" totally distinct from the closed causal system of reductive materialism. These references occur primarily in the sequence of inferences set forth in Kārikās IX–XXI (and in all of the accompanying commentaries). Again, the analysis unfolds via a series of dyads or contrastive features. In the second hemistich of verse II, after rejecting perceptible and scriptural means for overcoming suffering, Īśvarakṛṣṇa calls attention to a "superior means" for overcoming suffering that differs

from both the perceptible and scriptural means, namely, the proper discrimination (*vijñāna*) of *vyakta, avyakta*, and *jña*: *vyaktāvyaktajāa-vijñānāt*. He then introduces the basic Sāṁkhya dualism in the following fashion (verse III):

mūlaprakṛtir avikṛtir mahadādyāḥ prakṛti-vikṛtayaḥ sapta, ṣoḍaśakas tu vikāro na prakṛtir na vikṛtiḥ puruṣaḥ.

Primordial materiality is uncreated; the seven, intellect, and so forth, are both created and creative. The sixteen are created; consciousness is neither created nor creative.

The four hemistichs of the verse may be exhibited as follows:

(I) *mūlaprakṛtir avikṛtir,*
(II) *mahadādyāḥ prakṛti-vikṛtayaḥ sapta;*
(III) *ṣoḍaśakas tu vikāro,*
(IV) *na prakṛtir na vikṛtiḥ puruṣaḥ.*

Here *puruṣa* is clearly distinguished from all other tattvas in the sense of not being implicated in *prakṛti* or *vikṛti* (and in a formulation, if I might add parenthetically, that is strikingly reminiscent of Johannes Scottus Eriugena's opening passage in Book I of his *Periphyseon*, which reads as follows:

"It is my opinion that the division of Nature by means of four differences results in four species, (being divided) first into that which creates and is not created, secondly into that which is created and also creates, thirdly into that which is created and does not create, while the fourth neither creates nor is created" (Sheldon-Williams edition, Dublin, 1968).

In this Sāṁkhya formulation, moreover, it is to be noted that the first part (namely, *mūlaprakṛtir avikṛtir*) is a negation of the third part (*ṣoḍaśakas tu vikāro*) (and it is a negation of the *paryudāsa-type*); and the fourth part (namely, *na prakṛtir na vikṛtiḥ puruṣaḥ*) is a negation

of the second part (*mahadādyāḥ prakṛti-vikṛtayaḥ sapta*). It may be anticipated, therefore, that whatever is predicated of the second part will provide us With a negative description of the fourth part, and whatever is predicated of the third part will provide us with negative descriptions of *both* the first part *and* the fourth part (inasmuch as the fourth part is similar to the first part to the extent that it, too, is uncreated). And, alas, the descriptions that emerge in Kārikā X and following provide us with precisely these descriptions. The descriptions may be exhibited as follows:

```
                    (1)  (puruṣa)              —       (prakṛti)

Predicates          (2)  (jña      —      avyakta)  (vyakta)
of the third
part
                              ahetumat (uncaused)         hetumat (caused)
                              nitya (nontemporal)         anitya (temporal)
                              vyāpin (nonspatial)         avyāpin (spatial)
                              asakriya (stable)           sakriya (unstable)
                              eka (simple)                aneka (complex)
                              anāśrita (unsupported)      āśrita (supported)
                              aliṅga (nonmergent)         liṅga (mergent)
                              anavayava (nonparts)        avayava (parts)
                              aparatantra (independent)   paratantra
                                                            (contingent)
Predicates          (3)  (jña)   (avyakta      —        vyakta)
of the second
part
                              atriguṇas                  triguṇa
                                (no guṇas)                 (having three guṇas)
                              vivekin                    avivekin
                                (differentiated)           (undifferentiated)
                              a-viṣaya                   viṣaya
                                (nonobject)                (an object)
                              asāmānya                   sāmānya
                                (uncharacterized)          (verbally characterizable)
                              cetana                     acetana
                                (conscious)                (unconscious)
                              aprasavadharmin            prasavadharmin
                                (unproductive)             (productive)
Predicates          (4)  sākṣitva (witnessing)
from Kārikās             kaivalya (isolation)
XVII–XIX                 mādhyasthya (indifference)
                         draṣṭṛtva (presupposition of experience)
                         akartṛbhāva (inactivity)
                         bhoktṛbhāva (presupposition of subjectivity)
                         bahutva (plurality)
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If the "mathematical" paradigm discussed earlier is reminiscent of Pythagoreanism, then this final "dyadic" or "contrastive feature" paradigm, at least with respect to *puruṣa*, is somewhat reminiscent of medieval "negative theology" and older traditions of Neoplatonism. Hence, the parallel with Johannes Scottus Eriugena's *Periphyseon*

may be more than a curious similarity. There may be, in other words, a deeper intellectual affinity, possibly as a result of historical contact in the Hellenistic era or possibly as a result of a common Indo-European cultural heritage. (Regarding possible historical contact in the Hellenistic era, if I may be permitted another parenthetical observation, it would appear that classical Sāṁkhya or older traditions of Sāṁkhya-Yoga can be usefully compared to Neo-Pythagoreanism and Neoplatonism. As is well known, a number of scholars have suggested possible links between ancient Greek reflection and Indian thought, usually arguing for possible links between Greek thought and the ancient Upaniṣads. My own view is that such linkage is quite likely but hardly through the murky ambiguity of Upaniṣadic thought. A more likely point of contact would have been through the ancient traditions of Sāṁkhya and Yoga, both of which traditions were taking shape after the third century B.C. and received technical formulation in the third and fourth centuries A.D. Sāṁkhya is perhaps the oldest tradition of Indian philosophy; it has interesting affinities with early Buddhist thought; it was linked from ancient times with traditions of ascetics and wandering *sādhus*; and, perhaps most important, its early traditions were taking shape precisely at the time when the first contacts with Greek thought could have occurred. The of the fourth century purports to be a summary or digest of an older system called the "*ṣaṣṭitantra*" or system of "sixty-topics," and this older system could easily have been in existence between the second century B.C. and the first two centuries A.D. Moreover, Sāṁkhya philosophy, along with another ancient tradition of thought, the Vaiśeṣika, appears to be the theoretical basis of ancient Indian medicine, and we know from the careful work of Jean Filliozat that Indian and Greek medical practitioners were already in contact at the Persian courts from the fifth and fourth centuries B.C. onward. It is quite possible, therefore, that notions of Sāṁkhya and Yoga could have been known in the

Mediterranean world of the Hellenistic era, or possibly earlier. Moreover, the point of contact could well have been through traditions of ancient medical speculation, mathematics, and language —subject matters which would have had considerable practical *and* theoretical interest for both sides in any cross-cultural encounter. Unfortunately, there is insufficient evidence to document such encounters. We know only that the vague cultural memories that Neo-Pythagoreans, Plotinus and the Neoplatonists, various Gnostic groups, and others somehow learned were important things from India.)

Returning, however, to our "eccentric ghost in the machine," let me conclude by pulling together what Sāṁkhya appears to be wanting to say about its "eccentric ghost" based on the paradigmatic approaches set forth in this paper. Consciousness or *puruṣa* is a contentless "something," essential to experience and the world but not involved directly in the transactions or manifestations of the world. It is a simple "presence" (*sākṣitva*) in the world, one that enlivens the intellect, ego, and mind but one that has no *kāraka*-funcixon—a mysterious silence that makes speaking possible but is itself unutterable. It is outside the realm of causality, outside of space and time, inactive, utterly simple, unrelated, uninvolved in emergence or transformation, without parts, completely independent, apart from the three *guṇas*, transcendent yet always immanent, the presupposition of discrimination or differentiation, neither an object nor a subject, unintelligible or verbally uncharacterizabie, unproductive, a pure witness whose only relation to *prakṛti* is sheer presence, utterly isolated, completely indifferent, the ground of being, nonagent, and present in the "awareness" of all sentient beings as not being that awareness.

For Sāṁkhya, what is irreducibly important is the simple fact of our presence to ourselves. The authentic mystery in our existence, that

before which we must become silent, that in the light of which all wonder begins, and that which enables us to see that there is something rather than nothing, is, according to Sāṁkhya, our presence to ourselves—a presence which is at one and the same time a radical foundation for experience and a radical foundation for freedom.

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Mind/Consciousness Dualism in Sāṅkhya-Yoga Philosophy[*]

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1 Introduction

In the western philosophical tradition, there is a very prevalent tendency to equate the mind with the conscious self. This tendency is exemplified in the framework of Descartes' *Meditations*, which, not withstanding the abundant criticism this text has received over the centuries, in some sense still provides the most definitive and well articulated expression of the presuppositions underlying the modern western conception of mind. Descartes unhesitatingly identifies the referent of the indexical expression 'I' with *res cogitans*, the thinking substance, and thereby conceives the mind and self as one. For Descartes, thinking substance is of course metaphysically independent of extended substance, which engenders his familiar (and surprisingly resilient) dualism between mind and matter. Also without hesitation, Descartes takes conscious thought and subjective experience to be unqualified constituents of mental substance, and this particular mode of classification has become so much a part of our conceptual heritage that the dividing line he draws (even if not the attendant metaphysical commitment) seems almost self-evident. Surely, if a dualism with matter is to be entertained, then thoughts

and subjective presentations belong on the *non-material* side of the dividing line.

In contrast to this fairly ubiquitous Cartesian view, I would like to examine an alternative but intimately related version of substance dualism advanced by two allied schools (*darśana*) of orthodox Hindu philosophy, namely the Sāṅkhya school, and classical Yoga as expounded by Patañjali.[1] These schools draw a metaphysical dividing line not between mind and matter, but rather between matter and consciousness, wherein the mind is placed on the *material* side of the ontological divide. I think that this alternate formulation of the mind/body problem constitutes a valuable intellectual perspective for contemporary western philosophy. It illuminates the problem from a different angle, and this in turn highlights some of the presuppositions underlying the western analysis, and reveals that in an important sense these presuppositions constitute *choices* about how to conceptualize the phenomena, rather than inherent divisions supported by the phenomena themselves. In particular, the Cartesian identification of mind with the conscious subject will be brought into sharp focus, as well as the related Humean identification of the self with a constellation of subjective ideas.

In section 2 of the present paper, I will give a general overview of the Indian position, and in sections 3 and 4 I will explore some of the theoretical consequences of this alternative dualism, and critically compare these consequences with some recent manifestations of the Cartesian model. A primary tenet of the paper is that the classical Indian division between pure consciousness and matter has distinct philosophical interest, especially with respect to current discussion on the relationship between consciousness and mental representation, as well as the endeavor to give a computational and/or naturalistic account of mentality.

The philosophical interest of this alternative dualism is at least partly due to the fact that Descartes' schism between mind and matter has proved extremely adaptable, and reappears under a variety of contemporary guises. For example, Searle (1980) accuses proponents of 'strong' AI (artificial intelligence) of embracing a rigid separation between mind and matter, since they view the mind as a program of rules for symbol manipulation, and this is to treat the mind as an abstract formalism, fundamentally independent of the physical medium in which it happens to be instantiated. Thus certain advocates of the very recent discipline of AI seem committed to a strict separation between the mental and the physical. In a related general vein, the computational and formal treatments of mind advocated by cognitive science and AI are by nature syntactical, even when considered at the level of physical instantiation, and as such they seem to say nothing about the 'real meanings' or semantical contents which are quintessentially mental. Indeed, the deep theoretical gulf between syntax and semantics can be viewed as a highly specialized and refined variation on Descartes' theme. Syntax (at the level of actual tokens) is a system of physical characters, while semantical content seems to be something distinctively *cognitive*, and the connection between the two, at least with respect to computational theories of mind and natural language processing, is a very problematic issue.

Another well known guise in which standard Cartesian dualism finds expression is the infamous gap between qualia, *i.e.*, the 'elements' of subjective conscious experience, and the associated neurophysiological configurations of the brain. Subjective 'ideas' or presentations are held by Descartes to belong to the realm of *res cogitans*, whereas the brain obviously belongs to the realm of *res extensa*. This gap between qualia and brain states constitutes a theoretical focal point of modern dualism, since the correlation

between objective physical states of the brain and subjective conscious experience is the most intimate level of correspondence between matter and mind, and it seems to form the crucial boundary line where the two substances should 'intersect.' As I will argue below, the Sāṅkhya-Yoga analysis, though still dualistic, is less problematic with regard to the representational content of conscious mental states, as well as with regard to the functional role of qualia, since content and consciousness are held to be metaphysically independent.

2 Sāṅkhya-Yoga Dualism

TheSāṅkhya school, or *darśana*, is one of the oldest philosophical traditions of India, and many of its ideas are traceable to the Ṛgveda and the early Upaniṣads. Its historical founder is Kapila, though the original *Sāṅkhyasūtras* (aphorisms) he is said to have written during the 6th or 7th century B.C. are now lost, and the most important of the existing texts is the *Sāṅkhyakārikā* (explanatory verses) of Iś varakṛṣṇa, from around the 3rd century A.D. The Sāṅkhya tradition has a great many theoretical points in common with the classical Yoga *darśana* as expounded in Patañjali's *Yogasūtra*, probably written somewhere from the 4th to the 2nd century B.C.,[2] and the metaphysical position discussed in the present paper is part of their shared philosophical framework. Thus the basic dualism between consciousness and matter, as well as more specific allied points, will henceforth be referred to, somewhat generically, as the 'Sāṅkhya-Yoga view.'

According to the Sāṅkhya-Yoga view, the ultimate principle underlying matter is *prakṛti*, the metaphysical substrate supporting all material phenomena.[3] The mind is deemed to be part of the material world, and hence to be metaphysically grounded in *prakṛti*. The body is also part of the realm of *prakṛti*, and thus mind and body

are held to be of the same metaphysical substance. In its most general connotation, the term 'mind' in western philosophy corresponds to the combination or complex of three faculties recognized in the Sāṅkhya-Yoga taxonomy, namely *manas, buddhi*, and *ahamkāra*, whose respective significance will be briefly outlined below.

Manas (which is often translated directly as 'mind', though it is only a single facet of the 'mental triplex') is viewed essentially as an organ, the special organ of cognition, just as the eyes are the special organs of sight. Indeed, *manas* is held to be intimately connected with perception, since the raw data supplied by the senses must be ordered and categorized with respect to a conceptual scheme before various objects can be perceived as members of their respective categories, and as inhabiting a world characterized by the systematic and distinguishable attributes normally perceived. This imposition of conceptual structure on the chaotic field of raw sensation is one of the basal activities of *manas*, and forms the distinction between brute sensation (*nirvikalpaka*) as opposed to differentiated perception (*savikalpaka*). Hence ordinary perceptual experience is already heavily conditioned by the activities of *manas*, and *manas* is thus sometimes referred to as the sixth organ of sensation.

In addition to its perceptual activities, *manas* is held to be responsible for the cognitive functions of analysis, deliberation and decision. It is closely allied to *buddhi*, which is somewhat roughly translated as the faculty of 'intellect' or 'reason.' *Buddhi* is a subtler and more powerful faculty than *manas*, and is responsible for the higher level intellectual functions, which require intuition, insight and reflection. The Indian *buddhi* is in some ways comparable to the Greek *nous*, while *manas* is responsible for lower level discursive thought and analysis. But *buddhi* is still regarded as a manifestation of *prakṛti*, albeit the most subtle and refined form which material

substance can assume. The combination of *manas* and *buddhi* roughly correspond to what is meant by the objective or 'impersonal' mental faculties in western philosophical discourse. In addition, Sāṅkhya-Yoga recognizes a third component of mind, *ahamkāra*, which is the ego or phenomenal self. *Ahamkāra* appropriates all mental experiences to itself, and thus 'personalizes' the objective activities of *manas* and *buddhi* by assuming possession of them. The combination of these three faculties is referred to as *antahkaraṇa*, the 'inner instrument,' which approximately comprises the individual mind-self of the western philosophical tradition.

But on the Sāṅkhya-Yoga account, the realm of *prakṛti* or matter is held to be inherently unconscious, and is thereby incapable of producing consciousness as an effect. The manifestations of *prakṛti* are always objects, and it is argued that objects can never transform themselves into subjects. Thus at the heart of this dualistic position is the notion that mind-material is not capable of *generating* consciousness out of unconscious ingredients. Subjective awareness is a distinct ontological category, and in principle it cannot be derived from the stuff of which objects are made. So, in sharp contrast to the western approach, the mind and the cognitive activities it sustains are held to be intrinsically unconscious, since *manas, buddhi* and *ahamkāra* are all manifestations of *prakṛti*.

According to the ancient view, the dynamics of *prakṛti* are governed by the interactions of the three *guṇas*, which are the three basic types of constituent of physical substance. The three *guṇas* are *sattva, rajas* and *tamas*, which correspond roughly with 'transparency and buoyancy,' 'energy and activity,' and 'inertia and obstruction.' All physical phenomena are believed to consist of unstable mixtures of these three types of constituent, and the instability of these mixtures is responsible for the evolution and transformations of the material world. Thus the conceptual processes sustained by the mind are

governed by the mechanical and unconscious interplay of the *guṇas*, and to this extent, mental phenomena are viewed in purely 'physicalistic' or mechanical terms. The unfolding of thought-forms is an integral part of the evolution of *prakṛti*, and mental processes are simply the result of appropriate transformations of unconscious material substance. It is worth noting at this point that the Sāṅkhya-Yoga view thereby avoids one of the most serious pitfalls of Cartesian dualism, since on the Indian account, mental causation does not violate physical conservation laws. By including the mind in the realm of matter, mental events are granted causal efficacy, and are therefore able to directly initiate bodily motions.

Consciousness, on the other hand, is held to belong to a different ontological category altogether. Consciousness is placed in the realm of *puruṣa*, the absolute, unconditioned self, which in some respects is comparable to Kant's noumenal self. *Puruṣa* is described as pure and undifferentiated awareness, and it is held to be immutable and inactive, to be formless and without parts or limiting characteristics. *Puruṣa* is the metaphysical principle underlying the individual person, and closely corresponds to the *ātman* of the Vedānta school.[4] *Puruṣa* is held to exist in complete independence of the material realm, and so the basic dualism in the Sāṅkhya-Yoga metaphysics is between *puruṣa* and *prakṛti*, between consciousness and matter. On this account, mind belongs to the world of matter, while the self belongs to the realm of pure awareness, and thus the mind and the self are ontologically distinct. Movement and form are characteristics of matter, and they are also characteristics of thought, which is a manifestation of matter, while consciousness is held to be intrinsically formless and unchanging.

What then is the relationship between consciousness and matter, and how are conscious mental events possible? According to the Sāṅkhya-Yoga model, thought processes and mental events are

conscious only to the extent that they receive external 'illumination' from *puruṣa*. Consciousness is standardly compared to a light, which illuminates the specific material configurations or 'shapes' assumed by the mind. It is the subtle 'thought-material' of the *buddhi* which allows mental events to appear conscious, because the refined *buddhi* substance is transparent to the light of consciousness. Thus conscious thoughts and perceptual experiences take place when *buddhi* receives representational forms, both perceptual and conceptual, from *manas*, the organ of cognition. *Buddhi* is believed to consist of a preponderance of the 'transparent' *sattva guṇa*, and thus the representational forms it receives from *manas* are capable of becoming translucent with the light of consciousness. So *buddhi* receives cognitive structures from *manas*, and conscious 'light' from *puruṣa*, and in this manner, specific mental structures are capable of being illuminated by an external source, and thereby these structures are able to appear conscious. But consciousness itself is entirely independent of the particular thought structures it happens to illuminate.

The translucent quality of *buddhi* distinguishes thought-stuff from the gross material objects of thought and perception, which ordinarily contain a preponderance of the 'dark' or opaque *tamas guṇa*. Thus only the thought-material of *buddhi* is capable of conscious illumination, rather than the entire material realm, since a preponderance of the *tamas guṇa* renders the external objects of the material realm opaque to the light of consciousness. Hence representational structures, rather than the objects represented, are capable of conscious illumination, which is why minds appear sentient while stones and tables do not. Only the subtle stuff of the mind is a suitable medium for receiving sentience, and thus it is minds which are the loci of awareness in the natural world. In this manner, conscious thought processes and attendant representational

content is comparable to photographic slides of external objects. The photographic image stored in the film is composed of matter, but it is both representational and translucent, and therefore is analogous to the thought-structures which glow with the sentience of *puruṣa*.

So, on this model, the representational content of thought is carried in the unconscious physical configurations of the mind, and certain of these patterns or configurations become illuminated by an external and undifferentiated awareness, resulting in the phenomenon of particular conscious thoughts and subjective experiences. But consciousness and the illuminated mental processes are entirely independent. Formless and immutable consciousness plays no causal role in the transformation of mental structures, but rather is a passive 'witness' to some small portion of these structural transformations, *viz.* that portion normally identified with the conscious individual or Cartesian ego. According to the Sāṅkhya-Yoga analysis, the Cartesian or phenomenal ego is not the real self, but rather is a partial reflection of the self in the determinate structures of the material *buddhi*. The real self, as pure awareness, cannot be experienced as an object of consciousness, since all direct objects of consciousness are held to be specific structures of *sattvic prakṛti* illuminated by *puruṣa*. Thus the constellation of subjective experience which comprises Hume's 'empirical' self is held to be a mere material pattern, which receives 'transcendental' illumination from *puruṣa*.

Indeed, the habitual identification of the individual subject with the illuminated transformations of *buddhi* is traditionally diagnosed as a particular mode of *buddhi*, and is held to be the root form of *avidyā* or ignorance regarding one's true nature. A standard illustration of the purported relation between the real self and the ego is the following. The sun, as reflected on the surface of the ocean, appears to fluctuate with the waves and agitations of the surface, but it is

only the reflection, rather than the actual sun, which is affected by these disturbances. Thus the phenomenal self undergoes innumerable changes, and possesses the varied structural attributes of its physical medium, but these are true only of the reflection of self in an external substrate. According to the Sāṅkhya-Yoga account, the real self is not to be identified with the Cartesian realm of qualitative experience, and there simply is no *res cogitans*, no thinking substance in Descartes' sense. It is material substance which thinks, and it is the self which makes these thoughts conscious.

3 The Distinction Between Consciousness and Content

The foregoing brief sketch of the Sāṅkhya-Yoga view presents a striking contrast, on a number of points, with the traditional western analysis of self and mind. For my present purpose, the most salient point of contrast concerns the theoretical separation between consciousness and mental representation, rather than questions concerning the proper analysis of the self. In the ensuing discussion, I would like to examine some consequences of a general mind/consciousness distinction, as inspired by the ancient Indian *darśana*, but I would like to examine these consequences from the more contemporary perspective of mental representation in cognitive science and AI. Thus not all of the following claims and considerations are held to be contained in, nor to be strictly deducible from, the traditional Sāṅkhya-Yoga philosophy; rather I wish to explore some features of interest which follow from a broad conceptual alternative to the Cartesian picture, the latter of which still colors much contemporary thought on these subjects.

On the Cartesian view, subjective presentations or 'ideas', as *structured objects*, are held to belong to the non-material realm. But,

at the same time, they are held to represent external material objects and states of affairs. This leads to an immediate and very serious difficulty, since if the two spheres are metaphysically independent, then it is highly unclear how events in the mental realm could be related to or systematically represent objects in the material realm. Thought becomes separated, by an ontological chasm, from the external objects of thought, and the inner world of subjective experience threatens to become a solipsistic bubble. If some sort of (divinely harmonious) correlation between the two spheres is advocated, in order to provide a foundation for epistemology, then this leads to a profligate and un-aesthetic version of metaphysical repetition, where objects in *res extensa* are gratuitously mimicked by their representational duplicates in *res cogitans*.

Mind/consciousness dualism, though obviously not free from difficulties, at least possesses a theoretical advantage over traditional western dualism in this respect, since the conscious aspect of subjective experience is entirely disengaged from its semantical or representational form. The epistemological and cognitive advantages of this separation are most clearly illustrated in the 'base level' cases of veridical perception, and singular thoughts involving objects encountered in the environment. In these cases, representational structures are of the same metaphysical category as the objects they represent, just as a chair and a photograph of a chair are both composed of matter. This metaphysical (and hence causal) homogeneity provides a theoretical foothold for naturalistic accounts of representational content, since, just as the photograph of a chair can be accounted for *via* the assorted optical and chemical processes involved in its formation, so the representational content or structure of the perception of the chair can (in principle at least) be accounted for in terms of the physical interactions and processes involved in *its* formation.

It is the conscious, subjective aspect of visual perception which serves to motivate the introduction of a distinct metaphysical category, not the causally induced representational structure of perception, since it is theoretically feasible that the latter can be explained in terms of *unconscious* mechanisms, of generally the same sort that would be applied in the case of robotic 'vision.' The deep philosophical problem in the case of human perception lies not in the explication of structure, but rather in the fact that this bio-mechanically induced structure is imbued with conscious awareness. Thus Descartes' dualism of mind and matter, wherein conscious presentations *qua* structured objects are placed in the purely non-material realm, embodies an unhappy conflation of theoretically distinct features, and it thereby creates a causal abyss which insulates perceptual experience from the material objects which are perceived. It is consciousness, rather than content, which provides the most compelling impetus for dualism.

Thus the Sāṅkhya-Yoga division is based on a more perspicuous distillation of the salient components of subjective experience, where the world of qualia, the 'Cartesian theatre' of conscious presentation, is analysed as a mixture rather than as a realm of pure substance. The representational content of qualia is due to the respective material structures or patterns which comprise them, while conscious illumination is external, and ontologically independent of structure. Conscious illumination of structure is made possible by the particular *composition* of the pattern, wherein the transparent material of thought-stuff enables the light of *purusha* to enter. Thus representational content is comparable to the geometrical patterns of a stained glass window, which exist independently of their illumination by the sun. The illuminated patterns are a composite, consisting both of structured glass, which is analogous to the thought-shapes assumed by *sattvic buddhi*, and of luminescence,

which is the consciousness of *puruṣa*. In this manner, qualia are seen as composite phenomena, and, in the case of perceptual experience, there is no ontological chasm separating representational objects from the objects represented. Instead, it is the underlying conscious illumination, common to all experience, which defines the metaphysical boundary line between subject and object.

It is important to note that the foregoing critique of the Cartesian picture is not based on a general philosophical tenet to the effect that a metaphysical homogeneity *must* obtain between a representational object and the object represented, and which would entail that the mind must be material if it is capable of representing material entities. This inversion of Berkeley's argument against matter is far too stringent, and indeed would face serious difficulties in the case of abstract and non-specific objects, universals, non-existents, etc. Rather my point is simply that representational content, even for a cognitive phenomenon as basic as visual perception, is not susceptible to naturalistic explanation, if this content is held to reside in a non-material medium. This point is intimately linked to the earlier observation concerning mental causation with respect to bodily motions, since the problem of interaction between disparate substances cuts both ways. However, if mind and environment are held to belong to the same metaphysical realm, then mental content can both cause and be caused by other physical events. This at least opens the door to explaining mental representation and the evolution of cognitive structure through appeal to the interaction between an organism and its environment, while it is not at all clear that this door is open on a Cartesian account.

These considerations suggest that the ancient Indian separation between conscious awareness and representational content has interesting ties to current issues in cognitive science and philosophy

of mind. As will be discussed below, a crucial relation between human and computer-based intelligence is brought into sharp focus by mind/consciousness dualism, while this same relation is obscured by the familiar Cartesian divide. The research programmes of cognitive science and AI are based on a computational paradigm, in which it is assumed that cognitive phenomena, both natural and artificial, are founded on computational procedures instantiated in physical systems. The material view of mind endorsed by the Sāṅkhya-Yoga analysis is in principle quite compatible with this paradigm, since it is conceivable that the cognitive activities of *manas-buddhi* can best be described in computational terms. *Manas-buddhi* is an unconscious mechanism which manipulates the various representational structures involved in perception, cognition, and language, and from a late 20th century perspective, these manipulations can perhaps most plausibly be characterized as computational.

In this respect, there is a very strong resemblance between the activities of the cognitive organ of mind, and the syntactic manipulations carried out by a computer. Given a sufficiently sophisticated robot, *viz.* one which could perform 'autonomously' in a rich and complex behavioral environment, and thereby pass some suitably rigorous version of the Turing test, there would be many theoretical considerations in favor of attributing mentality to such an artifact. From an abstract perspective, there does not seem to be a significant difference between the mechanical activities of *manas-buddhi* and the computational procedures of an 'artificially intelligent' system. This indicates that the Sāṅkhya-Yoga position enjoys a very close fit with modern functionalist accounts of mind.

The fit is especially close in that the Sāṅkhya-Yoga analysis of mind makes no allusion to the presence of conscious experience. I think that, conversely, it is quite clear that functionalism and the

computational paradigm have nothing important to say about consciousness, and that subjective experience is an element which is theoretically extraneous to the research programmes of cognitive science and AI.[5] Computational procedures are mathematical abstractions, defined over purely formal objects, without reference to consciousness, and there is little reason to believe that consciousness or genuine subjectivity will simply 'emerge' from instantiated procedures of sufficient complexity or subtlety. Indeed, it is only the representational structure of qualitative experience which is relevant to its functional role, and hence this role can always be filled by an object with the same functional structure but which by hypothesis is *not* conscious. Since there is no contradiction inherent in this last claim (unless one is smuggled in by begging the question), it follows that consciousness *per se* is theoretically superfluous to functionalism.

4 Cartesianism and the Chinese Room

Searle (1980) provides a well known and important criticism of the classical AI position, a position which asserts that computational models have explanatory significance with respect to genuine mental states. Searle employs his celebrated Chinese room thought experiment in an attempt to demonstrate that instantiating an abstract system of rule-governed symbol manipulation is *not* a sufficient condition for the attribution of mentality. In brief, Searle argues that programs are merely recipes for grinding syntax, while genuine understanding requires an intrinsically semantical or intentional component. Thus no system can possess genuine understanding simply in virtue of instantiating a program, and therefore algorithmic processes cannot provide an adequate account of the mind. He insists that *human* understanding is inextricably tied to the particular physical 'stuff' out of which brains are made, and

thus functional structure alone cannot account for intentionality, since functional structure is by definition independent of its medium of instantiation.

In the context of the present discussion, it is interesting to look a bit closer at Searle's claim that the physical stuff of which brains are made is crucial to their ability to sustain the intentional aspect which underlies true understanding. In (1990), Searle further clarifies his position by explicitly equating intentional content with the ability to be consciously entertained by a subject. This equation sheds a very revealing light on the Chinese room scenario, because it shows that what is most obviously missing from the Chinese room is *conscious presentation of representational content*, which Searle in turn takes to be essential for genuine understanding. I think that the intuitive force behind Searle's objection to the doctrine of strong AI lies in the fact that the Chinese room lacks conscious presentations, and specifically, it lacks presentations of the representational content associated with the system's ability to pass the Chinese Turing test. Searle, as homunculus in the room, only has presentations regarding his understanding of English, and of his attendant ability to execute the program, written in English, which tells him how to manipulate the 'meaningless' Chinese symbols. This lack of 'semantical presentation' with respect to the Chinese symbol processing constitutes the real asymmetry between English and Chinese, and thus the pivotal issue in the thought experiment is conscious presentation, which we may or may not wish to equate with 'real understanding.'

So, according to this reading of Searle's argument, lack of conscious presentation can be isolated as the crucial element missing from the Chinese room, and failure to reproduce the specific material composition of the brain can be isolated as the *cause* of this lack. Hence potential isomorphism of functional structure has been granted, while genuine mentality (*i.e.*, presence of associated

conscious presentations) has been denied, on grounds which ultimately reduce to the specific material composition of the brain. This gives rise, on the one hand, to a striking similarity between the Searlean critique of strong AI and the Sāṅkhya-Yoga analysis of mind, although it also highlights a crucial difference between the two, and reveals a strong neo-Cartesian element in Searle's position. The resemblance will be discussed first.

As described in the previous section, it is a basic tenet of the Sāṅkhya-Yoga view that the specific composition of the mind's thought-structures is essential to whether they can receive conscious illumination. It is only the very special *sattvic* characteristics of *buddhi* which allow human thoughts and experiences to 'absorb' consciousness. Thus, according to a functionalist rendition of Sāṅkhya-Yoga dualism, the actual medium of instantiation is essential to whether representational content can support conscious awareness. It is the particular compositional details of human, brain-supported thought-stuff which make awareness of content possible, and to this extent, Sāṅkhya-Yoga dualism is in accord with Searle in maintaining that isomorphism of functional or representational structure is not a sufficient condition for reproducing subjective experience, and thus that the Chinese room cannot possess all the characteristics essential to the human mind-self complex. Functionalist methodology is capable of reproducing the mechanical characteristics of mind, which, when suitably instantiated, would allow an artificial system to completely simulate all behavioral aspects of human beings. If the mind is viewed as computational, while consciousness is held to be independent of computational structure, then it is possible to maintain simultaneously that the research paradigm of cognitive science should be capable of accounting for all phenomena which are properly cognitive or

mental, *and* that functionalism does not provide a sufficient condition for the presence of qualitative experience.

In contrast to the Searlean view, mind/consciousness dualism would deny that conscious presentation has any intrinsic link to representational content. Representational content is defined in purely functional terms, and those terms, once instantiated, are sufficient to account for the causal and behavioral interactions of all 'intelligent' physical systems, including human beings. In this manner, there is no properly *cognitive* difference between human qualia, and functionally isomorphic structures exploited by unconscious machines. If mind and consciousness are separated and the mind is construed computationally, then there can be no appeal to a uniquely 'semantical' component in the characterization of genuine understanding. Computational or formal procedures are by nature syntactical, even though the structures and manipulations involved may be *interpreted* as playing representational or semantical roles. For example, biological or design based heuristics may, for various reasons, attribute representational content to the structures over which computations are performed, where these reasons will advert to patterns of actual or potential interaction between the system and its environment. This is an operational account of content which does not correspond to the sense of 'intrinsic aboutness' which Searle attempts to capture through his appeal to conscious presentation. However, on the model of mind/consciousness dualism, conscious awareness can not in itself imbue a mechanical system with 'intrinsic aboutness.' The fact that some human representational structures are consciously presented does not give them the 'magical' power to uniquely determine their (operationally specified) objects in the external world. Hence consciousness does not confer a privileged semantical dimension to the mind, but, on this account, merely illuminates some of the syntax.

So it would appear that any appeal to conscious presentation, in order to explicate the type of 'real' mental content which purportedly distinguishes the human mind from functionally equivalent artifacts, constitutes a tacit invocation of *res cogitans*. Of course, most contemporary proponents of this Cartesian heritage would not be willing to posit a distinct ontological realm in which subjective ideas reside, but rather would hold the familiar components of mental substance to be somehow exuded by relevant organic processes, thereby endorsing a 'naturalized' version of the Cartesian picture. Yet in many ways this constitutes an unfortunate move, since the severe problems which afflict Descartes' notion of mental content indicate that this notion is better abandoned rather than naturalized. For example, if genuine semantical or representational content is equated with the potential to be consciously entertained, then the deeply troublesome issue concerning privileged introspective access to the mental realm is re-introduced, and in fact assumes central theoretical importance, since potential awareness then becomes an essential criterion for meaning. This problem is especially acute in an attempted naturalistic setting, since it is not clear that the introspective awareness of meaning has *anything* to do with the causal processes responsible for physical behavior, or with the many irredeemably *unconscious* processing states of the brain which intercede between the various episodes of conscious thought.

Even on the physicalist hypothesis that consciousness is nothing but a product of material brain state, it still does not follow that these particular brain states are of unique causal or functional significance. Still less does it follow that they are causally significant *by virtue of* the physical properties responsible for consciousness. Thus there does not appear to be a naturalistic or causal motivation for the identification of 'genuine' representational content with the Cartesian realm of conscious presentation. And this leaves open the

possibility that, even on a physicalist account of awareness, the semantical content which is presented has little or nothing to do with the explanatorily significant brain states which govern both the physical behavior of the system and the continued evolution of the internal sequence of brain states. Indeed, within a naturalistic setting, it is difficult to see why the presumed self-transparency of *res cogitans* should have any causal significance, even with respect to the transition from one conscious state to the next.

Mind/consciousness dualism would of course deny that consciousness has privileged introspective access to content (since content is independent of awareness) and it would also deny that consciously presented content, as such, has any unique semantical or causal status. A central feature of this model is that there is no intrinsic representational or functional difference between conscious and unconscious mental processes. Instead, there is a material continuum out of which representational structures are composed, where the composition of thought-forms can be more or less transparent, and hence more or less susceptible to illumination, just as ordinary translucent objects can retain local variations in opacity. Conscious illumination takes place only with respect to a small portion of the causally efficacious material mind, and is not an intrinsic property of mental activities. Thus consciousness does not enjoy infallible or perfectly self-transparent access to the realm of content, nor does conscious presentation itself affect the functional role of the structures illuminated.

5 Conclusion

So, in a variety of respects, the ancient Sāṅkhya-Yoga version of dualism provides a more felicitous dividing line between substances than does the Cartesian parsing of mind and matter. Descartes' picture of consciousness and the mind has had a tremendous

influence on the development of western thought; to a large extent it still defines the terms in which the mind/body problem is conceived, and it colors many contemporary notions of mental content and representation. In this sense, I think that the Sāṅkhya-Yoga view is at least as worthy of serious philosophical attention. A far wider range of cognitive phenomena are made available to naturalistic explanation on the Sāṅkhya-Yoga account, simply because the mind is included in the physical world. But, at the same time, the unique and autonomous status of conscious subjectivity is preserved. Of course, dualism of any flavor tends to be theoretically distasteful, and this is equally true of the Indian picture. Thus a primary motivation for examining this ancient philosophical system lies not in defining yet another type of polarity between substances, but rather in providing a different framework within which to consider issues such as the mind/body problem, which will in turn serve to articulate the dilemmas that a satisfactory form of monism must address. By conceiving the problem along slightly different lines, the Sāṅkhya-Yoga view already solves some of the difficulties which would haunt a naturalized version of Descartes' model.

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1   By using the appellation 'Sāṅkhya-Yoga' philosophy, I do not mean to endorse the view that the two schools are essentially the same, nor that Yoga is simply an applied or practical component grafted onto Sāṅkhya theory. Rather, I merely wish to discuss some (of the many) theoretical points which the two schools have in common, though I have tended to use predominantly Sāṅkhya terminology.

2   Textual chronology is of course a notoriously difficult and controversial affair. The dates provided in this paragraph are taken from Raju (1985).

3   In the ensuing discussion, the terms '*prakṛti*' and 'matter' will be used roughly as synonyms, even though this is not strictly correct, if matter is construed in terms of the 'particles' which make up physical objects. *Prakṛti* is the *metaphysical* principle which underlies physical manifestations, though for expository convenience I will often equate the physical world with *prakṛti*.

4   It should be noted, however, that Sankhya-Yoga recognizes a multiplicity of distinct *puruṣas*, i.e. one for each self, while Vedāntic thought tends to view the *ātman* as ultimately singular. Hence on the former account, there is a numerically distinct *puruṣa* associated with each material mind-complex.

5   Various 'missing qualia' arguments, such as Block (1978) and Jackson (1982), have objected that functionalism is not in principle able to account for subjective experience, and I would agree with the view that considerations of functional structure alone cannot provide a sufficient condition for consciousness. On the dualistic picture exposited in the present work, functional structure is not even a sufficient condition for the ability of an instantiated system to *receive* consciousness, since receptivity is a feature specific to composition.

The Self in Advaita Vedānta*

Eliot Deutsch

> I must first know myself, as the Delphian inscription says; and I should be absurd indeed, if while I am still in ignorance of myself I would be curious about that which is not my business.... Am I indeed a wonder more complicated and swollen with passion than the serpent typho, or a creature of a gentler and simpler sort...?
>
> (*Phaedrus*, 230a, trans. Jowett)

THE GOAL of philosophy for Advaita Vedānta, like that expressed by Socrates, is self-knowledge: it is to discover whether indeed man is, in essence, merely a complicated passionate being or whether he is also a simpler being whose nature is centered in a divine reality. This quest for self-knowledge is pervasive in Indian thought and is given a preeminent place in Vedānta. For in the Upaniṣads, which are the main source of systematic Vedānta, it is held that a knowledge of the self is a "saving" knowledge; that he who knows himself knows reality and overcomes all pain, misery, ignorance, and bondage (e.g., *Muṇḍaka Upaniṣad*, III, 2, 9).

What is the self, the knowledge of which yields freedom and wisdom? How does it relate to what we ordinarily take to be our self —our physical organization, our mental activities and capacities, our emotional and volitional life? Is the self essentially individual or is it universal? What, if any, are its limits of awareness and knowledge? These are the questions which Advaita Vedānta, the non-dualistic school of Vedānta, expounded primarily by Śankara (c. 8th–9th centuries A.D.), is committed to answer.

The purpose of this paper is to explore just how these questions are answered by Advaita Vedānta, and to interpret these answers systematically. Since the developments of "depth psychology" and "existential-phenomenological analysis," some of these answers are not as unfamilar to us as they were, comparatively speaking, a short time ago. I have, however, for the most part, avoided making comparisons with western thought, except when greater clarity can be had from such comparisons, for the reason that the Advaitic answers to these questions about the self are not, in the spirit of that philosophy, to be determined, appreciated, or tested by comparing them with other possible answers, but rather by comparing them, as it were, with human experience itself. The Advaitic analysis, in short, is "true" if it enables us to acquire a fuller realization of who or what we essentially are; it is "true" if it describes adequately, and brings coherence to, our experience of ourselves. And this truth is determined, according to Advaita Vedānta, only if we relate ourselves to the dynamics of the system itself.

I. PARAMĀTMAN

Bāṣkala asked Bāhva three times about the nature of Brahman: the latter remained silent all the time, but finally replied:—I teach you, but you understand not: silence is the Ātman.[1]

A person's essence is unapproachable through his name: and in the Spirit, in the Absolute where pure silence reigns, all names are rejected, and hence the truth of self cannot be reached through a name.

The application of a label to someone too often implies that in the deepest ontological sense that someone is a "something." Labels, according to Advaita, are mere conventions and sounds; and to disown all labels in a penetrating inward intuition means not only to

recognize the "nothing" that one is, it means to become the silence, the "everything" that alone is.

Ātman, for Advaita Vedānta, is pure, undifferentiated self-shining consciousness, timeless, spaceless, unthinkable, which is not-different from Brahman and which underlies and supports the individual human person.

Ātman is pure, undifferentiated, self-shining consciousness. It is a supreme power of awareness, transcendent to ordinary sense-mental consciousness, aware only of the Oneness of being. Ātman is the name for that state of conscious being wherein the division of subject and object, which characterizes ordinary consciousness, is overcome. Nothing can condition this transcendental state of consciousness: among those who have realized it, no doubts about it can arise. Ātman is thus void of difference, but it is not for Advaita simply a void: it is the infinite richness of spiritual being.

> This Atman is self-luminous.[2]
>
> There being nothing else but the Ātman, what should it see or know in particular....[3]
>
> Wheresoever there is doubt, there the wise should know, the Self is not. For no doubts can arise about the Self, since its nature is pure immediate consciousness.[4]

Ātman is timeless. It cannot be said to have arisen in time, to be subject to a "present," or to have an end in time—for all such sayings apply only to that which is relative and conditioned. Time, according to Advaita, is a category only of the empirical or phenomenal world. Time, with its before and after, can make no claim on the "eternal Now" which is the state of Ātman realization.

> This intelligent Self is without birth or death.[5]
>
> Whenever the nature of the Self is referred to by scripture, it is said to be eternal, unchanging and without any origin.[6]

Likewise it is spaceless. Spatial relations hold between objects of the empirical order; they cannot be extended so as to constrain that which is the content of spiritual experience: "It is impossible for the body to be the receptacle of the Self."[7]

It is unthinkable. "The eye does not go there, nor speech, nor mind."[8] "It is great and self-effulgent, and its form is unthinkable."[9]

Thought functions only with forms, in multiplicity; Ātman, being without determinate form, cannot be an object knowable by the mind, perceivable by the senses. Thought is a process; Ātman is a state of being. Thought objectifies; Ātman is pure "subject" which underlies all subject/object distinctions. "The knowledge of the Ātman is self-revealed and is not dependent upon perception and other means of knowledge."[10]

It is not-different from Brahman. "*Tat tvam asi*."[11]

Identity judgments such as expressed in the *mahāvākya* (great saying) "*Tat tvam asi*"—"Thou art that"—are not, for the Advaitin, mere tautologies: they are the concrete representation of a movement of thought from one ontological level (of particularity), through another (of universality) to yet another (of unity), wherein the attainment of the latter negates the distinctions between the former. One begins with individual consciousness (*tvam*), passes on to universal consciousness (*tat*) and arrives at the pure consciousness which overcomes the separative reality of both the individual and the universal, and which constitutes their ground.

Tat tvam asi means the affirmation of a common ground, viz., consciousness, to the individual and to "God." The identity is obtained by stripping away the incompatible or contradictory elements of the "that" and "thou" and thereby arriving at their common element or basis. According to the Advaitin, if we were to take the term "thou" strictly as the finite individual person, and the

word "that" as a transcendent deity, then clearly an identity between them is meaningless; by definition they are two different things. But there is a "secondary sense" of the terms which discloses the proper meaning of the proposition.[12] If the "thou" denotes the pure consciousness underlying human being, and the "that" the pure consciousness which is the ground of divine being then a complete identity between them does indeed exist. The individual self, apart from all the factors that differentiate it from pure consciousness, is the same as the divine, apart from its differentiating conditions. *Tat tvam asi*, according to Advaita Ve-dānta, is a significant proposition provided we deny the reality of the two terms as such and grasp their basic underlying identity.

In the depth of my being, then, I am not-different from Reality: the depth of my being, which is not "mine," is Reality. Man, according to Advaita, is not a mere conditioned being, so that if you were to strip away his desires, his mental activities, his emotions and ego you would find a mere nothing; he is spirit, he is consciousness, he is free and timeless being.

Ātman cannot be an object of thought, and it cannot be arrived at as the conclusion of a rational argument. In order, however, to orient the mind towards it and to prepare the mind to accept it as a fact of experience, the Advaitin does proffer rational arguments, the most common of which is a sort of *cogito ergo sum* argument. Śankara states that "to refute the Self is impossible, for he who tries to refute it is the Self."[13] No one, Śankara maintains, can doubt the existence of Ātman, for the act of doubting implies the very being of the doubter, who must thereby affirm his own existence. Vidyārana expresses the argument thus:

> No one can doubt the fact of his own existence. Were one to do so, who would the doubter be!

> Only a deluded man could entertain the idea that he does not exist...,[14]

The argument is not without its difficulties. A subtle and unsupported transition is made between the Ātman and the *jīva* (the individual conscious being) so that the argument does not so much prove the Ātman as it does the *jīva*. It is the *jīva* which has the kind of self-consciousness described in, and presupposed by the argument, and not the Ātman, which is pure consciousness. In other words, by establishing the self on the basis of the inability to deny the doubter who would deny the self, the self that is being established, apart from any other difficulty in the argument, is necessarily a qualified one; it is the self in waking consciousness who is aware of an 'I' and which, as will be shown, is associated with a qualified reality, the *jīva*, and not with Ātman, the non-dual Reality.

The main purport of the argument, however, as suggested, is to orient the mind towards Ātman: its pragmatic success then is dependent upon one who enters into a dialogue with it Ātman.

II. JĪVĀTMAN

1. The Phenomenal Status of the Jīva

The individual soul is not directly the highest Ātman, because it is seen to be different on account of the limiting adjuncts; nor is it different from the Ātman, because it is the Ātman who has entered as the *jīvātman* in all the bodies. We may call the *jīva* a mere reflection of the Ātman.[15]

The individual human person, the *jīva*, is a combination of "reality" and "appearance." It is "reality" insofar as Ātman is its ground; it is "appearance" insofar as it is identified as finite, conditioned, relative. The individual self then is empirically real, for it is a datum of objective and subjective experience; but it is transcendentally unreal, for the self, in essence, is identical with the Absolute.

In attempting to understand the status of the *jīva*, Advaita Vedānta proffers two theories or metaphors, both of which as indicated above

were suggested by Śankara.[16] A common intent informs these two theories, but the differences between them are instructive. According to the first, which is called *pratibimba-vāda*, the theory of reflection (and which is associated primarily with the Vivaraṇa school of Advaita), the *jīva* is a reflection of Ātman on the mirror of *avidyā* ("ignorance"), and as such is not-different from Ātman in essence. Just as in everyday experience where we know that the face in the mirror is not really different from the face in front of it, that it does not have an independent life of its own, and yet we maintain a distinction between them, so the *jīva*, reflected in "ignorance" is not really different from its prototype, the Self, and yet continues to be a *jīva* until the mirror itself is removed. The *pratibimba*, the reflection, is actually as real as the *bimba*, the prototype, being in essence the same thing, and is misjudged to be different only because it, the *pratibimba*, appears to be located elsewhere than the *bimba*. One attains the truth of non-difference, then, the moment that one understands that one is a reflection of Ātman which only appears to be different from it, but which is in reality identical with it.[17] And just as the reflection of a person in a body of water varies according to the state of the water, according as the water is calm or turbulent, clean or dirty, so the reflection of the Absolute varies according to the state of *avidyā* (ignorance) upon which it is reflected. The minds of men vary: some are more, some are less under the influence of passion and desire; some are more, some are less capable of intellectual discrimination and insight. The Absolute appears differently according to these differences among individuals.

The first description of, or metaphor about, the appearance of the *jīva* has this advantage: it suggests that the clearer the mirror the more perfect is the relation between the *jīva* and Ātman. As the mirror loses its individual characteristics it reflects better that which is presented to it. The *pratibimba-vāda* suggests, then, that rather than

being restless, anticipating, desiring, our minds ought to be as a clear and calm mirror capable of reflecting truth.

The second theory (which is associated with the Bhamati school of Advaita) is called *avacchedaka-vāda*, the theory of limitation. According to this theory, consciousness which is pure and unqualified, without sensible qualities, cannot be "reflected," and hence the analogy with the mirror, when pressed to the point to which the *pratibimba-vādin* takes it, breaks down. The individual is not so much a reflection of consciousness as he is a limitation of it; a limitation which is constituted by the *upādhi* of ignorance. The term *upādhi*, translated usually as "limiting adjunct" or "limiting condition," is frequently employed in Advaitic analysis. A *upādhi*, a limiting adjunct or condition, generally means the qualification or limitation of one thing by another thing. For Advaita, in the context with which we refer to it, a *upādhi* is the limitation, due to mental imposition, of infinity by finitude, of unity by multiplicity. It results in the seeing of the Infinite by and through limitations or conditions which do not properly belong to it. So long as ignorance exists the individual is not seen as he really is, but as he is separated from other individuals, as he is conditioned and finite. Just as space is really one but is seen through limitations as if it were divided into particular spaces, the space in a pot or a jar, so the Self is one but is seen through limitations as if it were multiple. The limitations, grounded in ignorance, are only conceptual: the Self is essentially unlimited and real.[18]

Avacchedaka-vāda, the theory of limitation, gives a somewhat greater empirical reality to the *jīva* than does *pratibimba-vāda*, the theory of reflection, in this sense, that whereas the *jīva* in the *pratibimba-vāda* is a mere mistake, as it were, in the *avacchedaka-vāda* it is a necessary "practical" reality. Insofar as we are subject to ignorance, to *avidyā*, it is necessary, as a matter of practical

convenience that we perceive individual persons and objects as separate, distinct realities. For both theories, however, the *jīva* qua *jīva* is an illusory appearance. The existential status of the individual human person, whether as a reflection of Ātman or as a limitation of Ātman, is one of qualified reality; its essential status is that of unqualified reality, of identity with the Absolute.

2. The Nature of the Jīvātman

The analysis of the empirical or phenomenal self in Advaita Vedānta is, as we interpret it, primarily a "phenomenology" of consciousness. It is a description of the kinds of awareness that one has of oneself when one is subject to *avidyā*. Advaita Vedānta does not so much explain the self as it describes the process by which we come to believe that it exists. In other words, the Advaitic analysis of the empirical or qualified self is concerned to answer this question: By what process of mis-identification do we form the belief in the reality of what is in fact an illusory appearance?

The first domain of our self-awareness, according to Advaita, is that of our being awake in relation to a world of external objects. We take ourselves as an 'I' or 'me' insofar as we are aware of things, events, and processes. Waking consciousness (*jāgarita-sthāna*) or primitive I-consciousness is "intentional": Vedānta agrees with existential phenomenology in this, that waking consciousness must have objects in order for it to be; that being awake means being *awake to*.[19] And this being awake is never static. Waking consciousness ceaselessly shifts its attentive energies to different objects and to different aspects of a single object; it lapses into disinterest and is freshly stimulated by other interests. Waking consciousness is thus time-bound: when in it we do not see things all at once nor do we think about things in a comprehensive totality; we

are constrained to a successive representation, to a considering of things one at a time.

According to the *Māṇḍūkya Upaniṣad*, wherein the analysis of the states of consciousness of the self is given, waking consciousness is directed towards the enjoyment of gross objects.[20] It is involved in desire and consequently is dissatisfied; for no object is capable of sustaining our interest in it, no object is capable of fulfilling the demands that we make upon it. We are aware of ourselves initially, then, as a waking, time-bound and enjoyment-seeking, but dissatisfied being. This self which is so dissatisfied, according to Vedānta, is the self which has identified itself with its physical body. In waking consciousness we are aware that we are a part of physical nature, that we are formed from it, are sustained by it, and that eventually we return to it. The *Taittirīya Upaniṣad* speaks of this kind of identification as the *annamayakośa*, the sheath or vesture of food (matter).[21] In waking consciousness we think that "this physical body is me"; and we miss thereby the truth of the Self. The physical body (or what becomes termed the *sthūla-śarīra*, the gross body) cannot be the Self, for it is conditioned, temporal, finite.

The first stage in the development of self-awareness, or the starting point in the phenomenology of consciousness, is that of waking consciousness, the basic standpoint of all philosophy. Advaita is not concerned here to deal with waking consciousness functionally, to explain, that is, the manner of its functioning in relation to its contents; it is concerned only to identify it as such and to point out the kind of self-identification that follows from it. In waking consciousness the self has forgotten itself. Whereas in reality the self is Ātman, pure "subject," it here takes itself as a mere object. It is some-thing among other things; it is "estranged" from the fullness of its being.

The second level or state of consciousness distinguished by Vedānta is that of dream-consciousness (*svapra-sthāna*).[22] It is the self as inwardly cognitive of the impressions carried over from the waking state: it draws its sensuous and passional materials from past experience and in turn influences future experience within the waking state. The dream state is the state of fancy and wish-fulfillment and functionally, if not in content, it may be equated with the "subconscious" of analytic psychology. Śankara states that "after the cessation in sleep of the activities of the senses, (the individual) creates a subtle body of desires, and shapes his dreams according to the light of his own intellect."[23] The dream state is thus a natural extension of the waking state but, as further pointed out by Śankara, "the waking state lasts until such time as the knowledge of Brahman is attained, while the dream state is daily sublated by waking life." In other words, the stuff of dreams, although rooted in the waking life, is not empirically real in the same sense as the content of waking life, for one recognizes it for what it is, namely, mere fancy and desire.

Advaita Vedānta attaches a good deal of importance to the phenomenology of dream consciousness in order to show the continuity of consciousness and the persistence of self-awareness throughout all states of consciousness. The independence of the subject of experience from its object is clearly exhibited in the dream state. No matter how deeply involved one is with the objects of dream one retains an independence from them (as embodied in the judgment 'I had a dream'), and indeed a greater freedom with respect to them than is possible in waking consciousness. One can violate all the rules of spatio-temporal relationships that hold between empirical objects when one is in the dream state; and one can readily "transpose" one's emotional relations to these objects from one kind of past experience to another. But one is involved in one's dream, as well as being a witness of it, and hence one has

made a fundamental mis-identification of oneself with the contents of one's quasi-liberated consciousness. These contents are called subtle elements (*tanmatras*); not only are they less gross than the objects of waking consciousness, they subtly influence the whole fabric of waking consciousness, constituting as they do the material out of which so much of "personality" is formed. And it is precisely this subtle influence which makes it so difficult for the *jīva* to know itself, to become fully aware of the forces which motivate it and which mold its attitudes and values. The contents of the dream state are elusive, and, from the standpoint of the experiencer, they are largely involuntary: they present themselves without conscious control or selectivity. Further, in so far as the waking state is intimately bound-up with the dream state, it too is largely involuntary. A complete freedom to choose the contents of consciousness is thus denied the *jīva*. The Advaitin would agree with Spinoza, then, that we think we are free when we are aware of our desires, but that in fact we are not free insofar as we fail to understand the causes of these desires—which causes, for the advaitin, are traceable to a root cause of *avidyā*.

The three *kośas* or sheaths which are associated with the dream state of consciousness and which constitute the "subtle body" (*sukṣmasarīra*) of the self are, according to Vedānta, the *prānamayakośa*, the sheath of "vitality," the *manomayakośa*, the sheath of "mind," and the *vijñānamayakośa*, the sheath of "understanding." The *prānamayakośa* is the self identified as a vital being. We not only identify ourselves initially as gross physical beings, but also as animate beings. The *Taittirīya Upaniṣad* regards this vital aspect of our being as consisting of five breaths[24] which pervade the body and give power to the senses, and to the organs of action[25] which likewise constitute this vesture of the self. Although the physiology here is no doubt crude, representing as it does only

the most basic awareness of the nature of vitality, the analysis does point to a furthering of self-awareness in the direction of the true self and to the kind of mis-self-identification that we make. It has been shown in modern psychology (namely by Freud) that all of us believe that "death is what happens to the other person," that we cannot imagine what it would mean for our own consciousness to cease, that in short we believe ourselves to be immortal. This belief is grounded in the *prānamayakośa*, in our identifying ourselves as persistent vital beings. But there is no genuine—that is to say, spiritual—immortality for the *jīva* qua *jīva*: it is condemned to "existence," to phenomenal reality until such time as it realizes Ātman.

The *manomayakośa* and the *vijñānamayakośa* comprise the mental life of the self. They are made up respectively of *manas* and the five sense organs, and *buddhi* and the five organs of perception. A general distinction is made throughout Indian philosophy between two aspects, functions, or domains of mental life: that of *manas* or "sense-mind" and *buddhi* or "intellect." The precise meaning and role given to these two domains of mental life differ from system to system, and in the different stages in the development of a single system, but a common enough core of meaning is present throughout. *Manas*, the sense mind, is an instrument, sometimes taken as a sense organ itself, which assimilates and synthesizes sense impressions, and thus enables the self to make contact with external objects. It is involved with these objects and consequently gives rise to the possessive 'my' and 'mine.' *Manas*, however, is somewhat blind, lacking as it does a discriminating objectivity, and is thus referred to as a mental condition of doubt (*vikalpa*). *Manas* rushes out through the senses into the form of any object presented to it and assimilates that form to itself. It furnishes the self with precepts which must be acted upon, transformed and guided by a higher

mental function. This is the work of the *buddhi*, the intellect or reason. The *buddhi* is an instrument of discrimination, a faculty of judgment; it determines our intellectual attitudes, fortifies our beliefs, and makes understanding possible. Whenever one is aware of oneself, then, as a rational being who is capable of intellectual insight and judgment, one is involved in this *vijñānamayakośa*. Both the *manomayakośa* and the *vijñānamayakośa* form the *antaḥkarana* or "internal organ," which is the psychological expression for the totality of mental functions in waking-dream consciousness.

According to Vedānta, all the mental activities of the self who identifies himself as a mental being are subject to a pervasive *avidyā*. No true self-knowledge is possible until such time as Ātman is realized, until such time as there is a fundamental change in consciousness. The self, being subject, cannot be an object to itself. All knowledge which takes place apart from Ātman is within the subject/object situation: the self as knower, within the context of the waking and dream states of consciousness, is a self which necessarily separates itself from the object of knowledge and hence always imposes something of itself upon the object. In short, with *manas* and *buddhi*, with the totality of mental functions, we may be self-possessed but never possessed by the Self.

The next stage of consciousness identified by Vedānta is that of deep sleep (*suṣupti*), which is characterized by a bliss (*ānanda*) which follows from the holding in abeyance of all distinctions.[26] Its *kośa* counterpart is the *ānandamayakośa*, the sheath of bliss, and is referred to as the *kārana-śarīra*, the causal body of the self. Deep sleep consciousness is not "transcendental consciousness," the spiritual consciousness in which oneness is attained, but it is not on that account to be construed as a void.[27] Defined initially in negative terms as an absence of objects, of desires and activities, it is then described in positive terms as a state of joyous consciousness. It is,

writes Śankara, "an abundance of joy caused by the absence of the misery involved in the effort of the mind...."[28] Deep sleep consciousness is the self as unified and integrated; it is not so much an overcoming of the distinctions which make for activity and desire as it is a harmonization, and a being a witness (*śaksin*) of them. Distinctions, in other words, are not abolished or transcended here, rather they are present in a kind of pure potentiality; and for this reason the *jīva* is said to perceive here pure *avidyā*, the cause or source of all distinctions. Further, deep sleep consciousness with its counterpart self-identification, the *ānandamayakośa*, is also called "causal"; it is the ground for future actions: the various sheaths that are manifest in the waking and dream states are latent here ready to unfold as prompted by the effects of one's past experience (*karma*).[29]

The *Māṇḍūkya Upaniṣad* describes lastly, through a series of negations and affirmations, that pure state of consciousness associated with Ātman.

> They consider the fourth to be that which is not conscious of the internal world, nor conscious of the external world, nor conscious of both the worlds, nor a mass of consciousness, nor simple consciousness, nor unconsciousness; which is unseen, beyond empirical determination, beyond the grasp (of the mind), undemonstrable, unthinkable, indescribable; of the nature of consciousness alone wherein all phenomena cease, unchanging, peaceful and non-dual.[30]

This is "transcendental consciousness," the attainment of which leads to self-realization, to freedom (*mokṣa*).

In later Advaita Vedānta, a distinction (already present but not as sharply distinguished in early Advaita) is clearly brought out between two types or kinds of spiritual experience related to "transcendental consciousness"; that of *savikalpa samādhi*, the borderline experience as it were between the *jīvātman* and *paramātman*, and *nirvikalpa samādhi*, the pure spiritual experience of Reality.[31] The distinction

between these two is subtle but important, as it brings out with such clarity the uncompromising non-duality of Advaita Vedānta and makes clear, in terms of the distinction between *savikalpa samādhi* and *suṣupti*, the deep sleep state, the fundamental difference between *paramātman* and *jīvātman*—from the standpoint of the *jīva*.

Savikalpa samādhi means "determinate" spiritual experience. In it an awareness of duality is absent, but unlike in *suṣupti*, the deep sleep state, the emphasis is not so much on the *absence of duality* as it is on the *presence of non-duality*. Whereas in *suṣupti* the self is still conscious of itself as a knowing subject, although there is nothing there as such to be known, in *savikalpa samādhi* the self is aware only of the presence of Reality. In *suṣupti* all the phenomenal activities of the self are suspended in a kind of serene blank; in *savikalpa samādhi* they are concentrated on the Real. In *suāupti* the self is still very much the *jīvātman*; in *savikalpa samādhi* the self is passing into Ātman.[32]

Nirvikalpa samādhi is the consummation of that process. It is the pure "indeterminate" intuition of non-duality. In *savikalpa samādhi* the self is aware of Reality; in *nirvikalpa samādhi* it is Reality.

To sum up: the Vedāntic analysis of the self into four domains of consciousness affirms that there is no discontinuity of consciousness, that there is but one consciousness, namely, that associated with Ātman, which appears in different states because of various *upādhis* or mis-identifications of self with one or more aspects of phenomenal selfhood. The four states of consciousness, then, are really stages in the development of one's power of awareness, and correspond to the ontological levels recognized by Vedānta. The waking and dream states, which can here be brought together under a single category,[33] correspond to the phenomenal world of gross and subtle bodies (termed *Vivāt* and *Hiraṇyagarbha*); the state of

deep sleep and of *savikalpa samādhi*, to the qualified Brahman (*saguṇa*) or the Divine (*Īśvara*); and transcendental consciousness, *nirvikalpa samādhi*, to *nirguṇa* Brahman or Reality.

And just as the ontological levels form a hierarchy of existence and value, the final term of which is not so much a part of the series as it is an annulment of the series, being incommensurable with it, so the stages in the development of consciousness form a hierarchy, the last stage of which transcends and overrides all the others. In the waking-dream state the self is caught up with objects, external and internal, and loses sight of its true nature as pure "subject." In deep sleep consciousness the self is free from objects but has not yet transcended itself. *Turīya*, the fourth, is that self-transcendence which brings about the awareness of Reality, of oneself as not-different from Reality, and the awareness of the finitude and ultimate unreality of what has preceeded it.

Phenomenally, as *jīvas*, as individual conscious beings, we are a multi-personality. We become the roles and functions that we perform; we become the kind of person we conceive ourselves to be; we become the many identifications we form of aspects of our self. Although we recognize the forces and conditions that act upon us, social as well as physical and psychological, we remain their victims: we ascribe ultimacy to them as we know of nothing to take their place. This, according to Advaita Vedānta, is the process by which we come to believe in the independent reality of the individual self, and consequently to deny the reality of the Self. Its root cause is ignorance (*avidyā*). We are ignorant in so far as we make of our physical, our bio-physical, our mental and emotional vestures something substantial, real, and ultimately valuable—without realizing that all being, reality, and value is grounded in, and arises from, our true Self. We are ignorant in so far as we take the expressions of consciousness, waking, dream, deep sleep, as

constituting the highest development of consciousness—without realizing that our consciousness, being identical with the Absolute, knows no limits.

We have then, diagrammatically expressed, the following spectrum of aspects and states of the self:

THE SELF IN ADVAITA VEDĀNTA

	State of consciousness	Epistemic designation	Ontological level	Sheaths of the self	Bodies of the self
Param-ātman	turīya (transcen-dental) nirvikalpa samādhi	subject/object non-duality	Brahman nirguṇa (Reality)		
	— — — — — — — —	— — —	Īśvara or Brahman saguṇa — — — — — — — (divine being)		
Jīv-ātman	savikalpa samādhi				
	suṣupti (deep sleep)	subject/object harmony		ānandamaya (bliss)	kārana-śarīra (causal body)
	svapra (dream)			vijñānamaya (understanding) manomaya (mind)	sukṣma-śarīra (subtle body)
		subject/object duality	Virāṭ and Hiraṇyagarbha (phenomenal world)	prāṇamaya (vitality)	
	jāgarita (waking)			annamaya (matter)	sthūla-śarīra (gross body)

III. FRUITFULNESS OF THE ADVAITIC ANALYSIS

What has western philosophy to learn from the Advaitic analysis of the self? It can first of all, I believe, learn something from the methodology of levels as employed in Advaita Vedānta. What is true or valid to one level of our experience (e.g., to waking consciousness) is not necessarily true or valid to another level of experience (e.g., to "transcendental consciousness"). The distinction between "self" and "non-self," between "I" and "you," is a valid distinction from the phenomenal standpoint; but it is not, for the Advaitin, a valid distinction from the standpoint of Reality. If it is the case that our "real self" is not to be identified with any aspect of our "empirical

self," then these two levels of selfhood, being different in kind, are incommensurable. Realizing this, philosophy can many take a new look at arid rational-metaphysical arguments that have dogged the course of its development; arguments, for instance, about the relationship of the soul to the body (for since they are on different levels, no relation can be established by reason between them).

Second, and perhaps of greater importance, western philosophy can learn something from the spirit of quest exhibited in Advaita Vedānta. Since the Renaissance, western man has prided himself on his exploring the depths of an infinite universe without setting limits in advance to this exploration. By comparison with the Advaitic extent and spirit of exploration, however, this western claim is simply a myth. We are in fact quite convinced that our consciousness does have essential limits; and such a conviction tends to preclude any attempt to go beyond these limits. The Advaitin is a genuine "empiricist" in his approach to experience, and not the sense-chained one we associate with the term. He is willing—and the western philosopher could well follow his example—to pursue experience as far as it can take him, and to accept the implications of that experience squarely. The Advaitin is the "existentialist" who is willing to take risks, for the path which he follows is admitted to be "as sharp as the razor's edge." But if Socrates is right in believing that it is absurd to try to know anything without first knowing oneself, then taking risks is an integral part of what it means to be a philosopher.

[1] Śankara, *Brahmasūtrabhāṣya*, III, 2, 17; translations mine unless otherwise indicated.

[2] *Bṛhad-āraṇyaka Upaniṣad*, IV, 3, 9.

[3] Śankara, *op. cit.*, II, 3, 18; trans, by Vinayak Hari Date.

[4] Sureśvara, *Naiṣkarmya Siddhi*, III, 37; translated by A. J. Alston (London: Shanti Sadan, 1959).

[5] *Kaṭha Upaniṣad*, I, 2, 18.

[6] Śankara, *op. cit.*, II, 3, 17.

[7] Sankara, *Kaṭhopaniṣadbhāṣya*, II, 2, 12.

[8] *Kena Upaniṣad*, 1, 3.

[9] *Muṇḍaka Upaniṣad*, III, 1,7.

[10] Śankara, *Brahmasūtrabhāṣya*, II, 3, 7.

[11] *Chāndogya Upaniṣad*, IV, 8.

[12] This method of stripping away contradictory elements of individuation in order to arrive at underlying unity is called *jahad-ajahad-lakṣānā*.

[13] Śankara, *op. cit.*, II, 3, 7.

[14] *Pañcadeśī*, III, 23–24; translated by Hari Prasad Shastri (London: Shanti Sadan, 1956).

[15] Śankara, *op. cit.*, II, 3, 50, translated by Vinayak Hari Date.

[16] Some interpreters of Advaita (e.g., V. P. Upadhyaya) have suggested that three theories to explain the non-dual status of the *jīva* and its phenomenal appearance are to be found in Advaitic literature: the *pratibimba-vāda*, the *avacchedaka-vāda*, and the *ābhāsa-vāda* (of Sureśvara). The differences between the *pratibimba-vāda* and the *ābhāsa-vāda*, however, are subtle and were not emphasized to any extent in the literature as a whole.

[17] Cf. B. K. SenGupta, *A Critique of the Vivaraṇa School* (Calcutta: S. N. SenGupta, 1959), pp. 240–41.

[18] The objection frequently raised against this position is that it is impossible (unintelligible) for the *jīva* to be a limited appearance of Ātman and at the same time to be the locus of *avidyā*; for it becomes then both the product and the source of the limiting adjuncts. For purposes of understanding the Advaitic position on the nature of the *jīva*'s status, however, it is not necessary to examine the subtle dialectical interplay between these two rival theories, for the "theories" are in fact but metaphors and analogies which seek to clarify rather than to demonstrate the ultimate non-difference between the *jīva* and Ātman and the phenomenal status of the *jīva* as *jīva*; and being metaphors they cannot be pressed to the point where they can stand as independent theoretical statements. In other words, the Advaitin of whatever persuasion begins with the central experience of non-duality and looks for ways by which this can be communicated and for what follows from it; he does not arrive at the fact of non-duality as the conclusion of an inductive or deductive demonstration.

[19] Or as Sureśvara puts it: "There is no manifestation of the 'I' without a modification of the mind directed to the external." *Naiṣkarmya Siddhi*, III, 58.

[20] "The first quarter is Vaisvanara (all-beings) whose sphere of action is the waking state, where consciousness relates to external things, and who possesses seven limbs and nineteen mouths, and who enjoys gross objects (*jāgaritasthāno bahisprajñāḥ saptaṇga ekoniṁśatimukhaḥ sthūlabhugvaiṣvanaraḥ prathamaḥ pādaḥ*)" I, 3.

Śankara, in his commentary on this, attaches no importance to the seven limbs (*saptanga*); he says that they are incorporated only for the purpose of completing the imagery of the Agnihotra sacrifice as set forth in *Chāndogya Upaniṣad* (V, 18, 2). The "nineteen mouths"— the five senses, the five organs of action, the five vital forces, and the fourfold division of the internal-organ (*antaḥkarana*), however, are looked upon as the avenues by which we are led to, and become enjoyers of, gross objects. They are psycho-physical constituents of the self which bring it into meaningful contact with external objects and which makes possible its attachments to them.

[21] *Taittirīya Upaniṣad*, II, 2.

[22] *Māṇḍūkya Upaniṣad*, I, 4.

[23] Śankara, *Brahmasūtrabhāṣya*, III, 2, 4; trans. V. H. Date.

[24] Identified as the in-breath (*prāna*), the out-breath (*apāna*), the diffused breath (*vyāna*), the body space (*ākāsa = samāra*) which is the "context" of the vital forces, and the support (*puccha = udāna*) for these functions.

[25] Identified as speech, hand, foot, anus, genital.

[26] *Māṇḍūkya Upaniṣad*, I, 5.

[27] The Advaitin argues that in the state of deep sleep consciousness is present, that deep sleep is a state of consciousness and not of non-consciousness, although there are no objects there with which it relates or interacts. This is the case because upon returning to waking consciousness one does affirm "I had a wonderful sleep," and if consciousness were absent altogether in that state no memory affirmation of it would be possible. Consciousness thus persists even in the absence of all of the instruments of sense and cognitive experience.

[28] Śankara, *Bhāśga* on *Māṇḍūkya Upaniṣad*, I, 5.

[29] Cf. Vidyāraṇa *Pañcadeśī*, XI, 69–72.

[30] *Māṇḍūkya Upaniṣad*, I, 6.

[31] We are here translating *samādhi* somewhat freely as "spiritual experience," to fit our general context of discussion. More precisely it might be called "unifying concentration."

[32] Still, "even the view that the self becomes Brahma*n*" is only a verbal statement, for he is always Brahman." *Bṛhadāraṇyakopaniṣadbhyāṣa*, VI, 4, 6.

[33] This bringing of waking and dream consciousness into a single category is justified by the manner in which relations are established between the various stages of consciousness, by the fact that both are said to be comprised of the same "seven limbs" and "nineteen mouths," and by their ontological contexts, which together constitute the phenomenal world.

THE CONCEPT OF THE ABSOLUTE AND ITS ALTERNATIVE FORMS

1. Philosophy starts in reflective consciousness. Reflection is the awareness of a content *as to* a mode of consciousness. The phrase 'as to' means some relation and it is in reference to this relation that the concept of the absolute has to be understood. What is this relation?

2. We ordinarily understand a relation as between the contents of consciousness and we have here apparently to conceive some such relation as subsisting between content and consciousness. Of the two relations—between content and content, and between content and consciousness—the latter has to be understood in terms of the former. Not that we know relation in objective consciousness before we come to be reflectively conscious of a relation between content and consciousness. To be aware of a relation *as such* between two terms, of their relation as distinct from their whole having the form of being, is to be aware at the same time of the possibility of the terms being not related in that relation. Now unlike a term known to be existent, a relation known to subsist between two terms cannot be *imagined* to be absent. The possible absence of a known relation, in fact, can never be apprehended in merely objective consciousness. Hence we can know a relation *as such* of two contents only in reflection which is specifically the consciousness of a relation between content and consciousness. Yet although there can be no consciousness of a relation prior to reflection, the relation of contents may be said to be prior to the relation of content and

consciousness in the sense that the former is intelligible by itself while the latter is intelligible only in terms of the former.

3. There are those who hold that because we are only reflectively conscious of relation, the relation between content and consciousness should be read into the relation of content and content and not vice versa. The relation of content and consciousness is to them a transparent identity-in-difference and all relation of contents is to be understood as the same relation in an implicit form. The difficulty is that the relation of content and consciousness is not explicitly or self-evidently appreciated as an identity-in-difference by reflection itself, being, in fact, claimed to be so appreciated only in a higher consciousness called absolute or speculative consciousness. The possibility, however, of this supra-reflective consciousness may be disputed and it is necessary in the first instance to show if and how reflection itself points to it.

4. Prima facie to reflection, the relation of content and consciousness appears as an implicative distinction. We are reflectively aware of the content as distinct from and in necessary reference to consciousness and the reference is not merely verbal but is implicitly an assertion. In the case of an asserted implication between two terms, the fact asserted is a relation (or unity), the terms of which are not the terms asserted to be in implication. If A is asserted to imply B, a factual relation is meant but A is not understood as a term of the relation. A here stands for a fact which need not have the relation but is thought as having it, the fact being not altered by being so thought. This fact should be capable of being expressed by a term that does not refer to the relation and the relation should be taken as between this term and the implied term B. For every implying term, it is necessary to find such a non-implying term, if possible; and until and unless-it is found, the implication has to be taken as an *indefinite* formulation of a factual

relation (or unity). To reflective consciousness there is implication between the content and the consciousness of it and the implication points to a factual relation (or unity) of which one of them at least is not really a term. One of them at least stands for an unnamedi something which need not be related to the other. Some factual relation then appears to be only indefinitely formulated as the implication of content and consciousness in the reflective stage.

5. Now if it can be shown within reflection that this indefinite relation cannot be denied to be a distinction and cannot be denied also to be an identity, a stage of consciousness in which distinction and identity of the same terms are positively known together may be taken to be demanded by reflection which cannot understand them together. That the content is somehow distinct from consciousness is obvious to reflection but identity is not so obvious. What immediately appears is an indefinite distinction between content and consciousness: the terms are undoubtedly distinct but they are not wholly distinguishable. Have we the right to interpret this vague indistinguishability as an identity?

6. The indefinite relation of content and consciousness appears to reflection at once as distinction and as not distinction but this non-distinction cannot be positively asserted as an identity. Things may come to be distinguished that were undistinguished but what are once distinguished cannot be later taken to be non-distinct without at least one of the terms being taken to be illusory. Hence to distinguish terms imperfectly is to be able to assert their distinction but neither to assert nor to deny their identity.

7. But it may be contended that distinction and identity stand on the same footing in respect of undeniability: like distinction identity also once apprehended cannot be denied. That we distinguish what were undistinguished does not mean that we knew their *relation* of

identity which is now denied. We reply that it is possible to deny the relation of identity even when it is explicitly apprehended. There is something peculiar about the relation of identity, as expressed in the dilemma: if its terms are not distinct, they are not related at all, and if they are distinct they are not identical. We cannot get rid of the dilemma and admit identity as a relation unless we hold that while the distinction of its terms is cognitively undenied, it is positively entertained only in non-cognitive consciousness. The fact A in the context M is said to be identical with A in the context N and A has the differential characters x and y in the contexts, which are presented and yet as neither factual nor non-factual. If the characters be facts, A cannot be identical in the two contexts and if they be no facts at all, there is no distinction of terms and, therefore, no relation. They have accordingly to be taken as not cognised characters but aesthetically apprehended expressions which do not preclude the cognised identity of A and yet are themselves cognitively undenied. To assert a relation is not to *assert* a distinction between its terms but only not to deny it. We may be affectively or conatively aware of a distinction where we do not intellectually disbelieve the distinction but do not also assert it. Identity then such as is knowable is a relation of terms, the distinction of which is undenied but unknown. Now what is unknown and yet speakable as felt *may* come to be known. If the differential characters. *x* and *y* come to be known, the identity of A would be denied. Identity cannot accordingly be taken to be undeniable like distinction.

8. The indefinite relation then of content and consciousness should not be interpreted as indefinite identity. There is no demand, therefore, in reflection for a stage of conscious in which content and consciousness may be explicitly seen to be identical in difference. The only necessary demand in knowledge is that what appears as indefinite in an assignable respect should be definable in that

respect. If further the indefiniteness is such as *necessarily* appears to a stage of consciousness, that stage is taken to demand a higher stage where the indefinite gets defined. To reflection, the relation of content and consciousness appears necessarily as an indefinite distinction only and not as an indefinite identity. The demand is for this distinction to be defined and for a supra-reflective consciousness where this distinction can be visualised.

9. The concept of the absolute in any form is taken to belong to a supra-reflective consciousness. The possibility and nature of this consciousness have to be understood in reflection as a necessary problem. The conception of an explicit identity-in-difference of content and consciousness is not demanded in reflection. Reflection demands only a non-implicational distinction of them to define the necessarily implicational or indefinite distinction that is presented to it. The absolute accordingly has to be problematically understood within reflection as meaning not an identity but only a completely definite distinction of content and consciousness. It may be that the supra-reflective consciousness in which the reflective implication of content and consciousness is turned into a non-implicatory distinction is itself consciousness of identity in a symbolic or metaphorical sense. But in any case identity as *a logical relation* has to be definitely denied between content and consciousness before this mystic identity can be appreciated.

10. We are concerned for the present with the conception of the absolute such as is intelligible as a problem to reflection. We have to trace in detail how the indefinite distinction of content and consciousness can be defined, how their apparent identity can be denied, how, in fact, the implicatory distinction can be resolved into a non-implicatory distinction. We shall find presently that the implicatory distinction of content and consciousness varies according as the consciousness is knowing, feeling or willing. The implication is

resolvable in different ways in these three spheres and the absolute is understood in the reflective stage in terms of the mode of resolution in each case. Knowing, feeling and willing will then each have its own formulation of the absolute—viz., truth, value and reality (or freedom) respectively, as will be justified later. In the reflective stage these absolutes or formulations of the absolute will be found to be un-unifiable and to be in a sort of alternation. Whether a mystical identity of the absolutes can be reached in the supra—reflective consciousness does not concern us. Our problem is to show how reflection demands a specific absolute in each case.

11. What is specifically apprehended in non-cognitive consciousness cannot be literally formulated in terms of knowledge. Philosophy which cognitively deals with the contents of all consciousness should claim to know *not* the non-cognitive contents themselves but only *that* they are non-cognitive, that we believe in contents which we do not know. It can, therefore, speak of these believed contents only by a sort of intellectual symbolism *as though* they were known. To reflection, the implicative distinction of content and consciousness varies according as the consciousness is knowing, feeling or willing. The variations may be represented by three modes of distinction that we recognise as between known contents. If A is distinct from B, B may be simply an other, or it may be constitutive of A, or A and B may be both constitutive of C. So the content that is distinguished in reflection from consciousness may be spoken of as unconstituted by consciousness or as constituted by consciousness or as along with consciousness constituting some kind of unity. The first mode of distinction is the relation of content and consciousness in knowing and the last two will be found to appropriately symbolise the relation in willing and feeling respectively.

12. The content of a knowing act is unconstituted by the act The *particular* act of knowing discovers and does not construct the object

known, even if the object be admitted to be constructed by *some* knowing. Knowledge would appear to mean that the object known is in some sense independent of it though it may be a question whether what we ordinarily claim to know is properly said to be known and to be independent of the knowing. Where the object is coloured by the particularity of the act of knowing, it may be said to be only empirically known but it is still taken to be known so far as it is believed to be independent of it.

13. The content of willing may be said to be an act, an end, or the empirical embodiment of the end—the organisation of certain objective facts (including the means) by the end. None of these is a fact that can be said to be known in the willing, believed as independent of the willing in the sense the content of knowing is independent of knowing. Each is constituted by willing in the sense that apart from willing it is nothing at all. It cannot be said that it is a future fact that is *known* in the willing. Willing is, indeed, some form of consciousness of the future but the future here, unlike the future that is said to be known, is not a fact but a contingency, not what *will* be but what *would* be *if* it were willed, not as already determined but what is being determined by the willing and as therefore apart from the willing nothing at all. Yet the content of willing is distinct from willing, distinct as what is constituted is distinct from what constitutes it.

14. Reflective knowing is consciousness of the known object as distinct from the knowing. Reflective willing is consciousness of the act willed as being distinguished by the willing from itself. Neither is consciousness primarily of the distinction itself or the distinguishing. Reflective feeling is primarily consciousness of the distinction (or the distinguishing) of content and consciousness. To be conscious of a content *as* felt is to be conscious of the content in unity with the feeling or of feeling unified with the content. The unity of two

contents means—whatever else it means—an imperfect distinction between them ; and we have to understand the unity of content and consciousness on this analogy. The unity of which reflective feeling is conscious is the imperfect distinction between content and consciousness, taken itself as a content. To be conscious of a content as known or willed is not even to be implicitly conscious of a unity of content and consciousness. The known content appears to reflection as perfectly distinct from knowing and a unity of perfect distincts cannot be reflectively conceived to be knowable. The content of willing as constituted by the willing alone cannot be understood to constitute along with the willing any unity other than the content itself. It is only in reflective feeling that we are conscious of something, viz., value that is as much content as consciousness, that is not indeed *both* of them at once but what each of them is and is not alternately. The felt content is imperfectly distinguished from feeling but not constituted by it in the sense that apart from it, it is nothing at all. We do not, indeed, know but cannot deny that the value of an object is really in it.

15. Reflective consciousness is definite consciousness of something. The content of feeling of which we are reflectively conscious is not a definite content. What is perfectly distinct from another or constituted by another in the sense of being nothing without it is definite in itself. What, however, is imperfectly distinct from another and unconstituted by it is not definite in itself. Now an indefinite can only be referred to in connexion with a definite content. What we are definitely conscious of in reflective feeling is the imperfect distinction itself of content and consciousness, this indefinite *as such* being, in fact, their unity. The indefinite content of feeling can only be referred to as a factor of this unity.

16. The content of knowing then is perfectly distinct from knowing and is unconstituted by it. The content of willing is imperfectly

distinct from willing though distinct in itself and is constituted by it. Content and consciousness make a unity in the case of feeling but not in the case of knowing and willing. There are thus three modes of distinction of content and consciousness of which we are reflectively conscious. Each of these is an implicative or indefinite distinction in some sense and the indefiniteness will be found to consist in the fact that a relation that is intelligible as between content and content is only half intelligible when taken to be the relation between content and consciousness.

17. To begin with knowing. If the content of knowing be perfectly distinct from knowing, how can the distinction be implicative or indefinite at all? It is implicative in the sense that the content of knowing is *necessarily* understood in reflection as what is perfectly distinct from knowing. The content *implies* such a reference to knowing and apparently means nothing without it. When one content is asserted to imply another, a *relation* is asserted of which, as we said, the implying content is not really a *relatum* but some other content which need not have the relation and which as thought with the relation is the implying content. This irrelative content may not be actually formulated but we conceive it to be formulable. It is difficult to conceive, however, what the known content apart from the knowledge-relation can possibly mean, since it is before the mind only as known.

18. The consciousness of a content as known is not, indeed, the consciousness of it as a fact necessarily related to knowing but it is not also the positive consciousness of it as only accidentally related to knowing. Reflection, in fact, on knowing tells us nothing about whether the content known is or is not necessarily known. The known content *means* indeed what is perfectly distinct from knowing but this verbal reference to knowing need not mean a *necessary factual* relation. The perfect distinction, too, does not mean that the

content stands for something that would be even if it were not known by any one. Both the idealistic and the realistic positions here appear to be over-statements. In one sense, however, the realistic position may be said to have an advantage, for although reflection does not testify that what is known need not be known, it does not deny it while the idealistic view that the content is constituted by the knowing of it appears to be plainly opposed to reflective testimony.

19. It may be, however, that if and when the realistic conception of the known content as what need not be known is realised, the idealistic notion of its being constituted by knowing will be found to have a meaning. Criticism of knowledge may show that all that is actually taken to be known in the reflective stage is in some respect constituted by the particular act of knowing and, therefore, is in that respect not properly known though its known character cannot be denied altogether. Meantime we may reject the ordinary idealistic argument that to be aware of knowing an object is to be aware of recognising it, aware therefore of the object as necessarily known. There is actually no consciousness of recognising the object in the literal sense of remembering the past knowing of it. All that is actually meant is that to be aware of knowing an object is to be aware of knowing *truth*, knowing something—in other words—to be eternal or timeless. The object may be temporal but that it is in time is not itself a temporal fact. To know is to have a timeless truth revealed but this does not mean that it is timelessly *known* and so known *again* in the present act of knowing. There is apparently no ground to assume either a previous knowing or of a timeless, impersonal or universal knowing along with the present knowing to justify the use of the word 'recognition'.

20. The realistic position that the known content may exist unknown is not denied but cannot also be asserted in the reflective consciousness. It may be said, however, that it cannot be denied or

asserted because only the proposition is meaningless. Can reflection understand it as a possibility? The possibility, we reply, is understood in reference to what we take to be self-evidently known. Certain known contents appear at least to be *self-evident*, not simply evident. So long as the evident is not contrasted with the self-evident, we say about it 'it is' and not 'it is *to me*' When it is contrasted however, we say 'it is *to me*' (though not 'to me only'), while of the self-evident we say simply 'it is'. To say 'it is *to me*' is to suggest that it may not be; and to say—in denial of this possibility—that 'it is' is to imply that it might not have been to the knower at all, that it is eternally true, that it is truth literally revealing itself. If anything then is known to be self-evident, it is known as what need not be known.

21. That the known content may exist—or more accurately— may be true without being known is then intelligible as a problem to reflection. It is, therefore, deniable, and it is not denied (though not asserted) because some content claimed to be self-evident appears to be implied in all knowledge. What is taken to be known is thus implicitly believed to be self-evident and only in this sense to be what need not be known. The realistic view of the independence of the known content, of its knownness being accidental, can only be admitted in the sense of the content being in some respect self-evident or self-revealing. The realist's definition of knowledge has to be accepted; but the question against him would be if what is claimed to be known is really known, is independent of the particular act of knowing or knowing generally. It is not the question if what is taken to be true is true. Value, for example, may be claimed to be known but it may be legitimately asked if it is known at all, if it is not merely believed in a non-cognitive way. So one may ask if what is taken by Kant to be only empirically known as involving construction of experiences is, as the realist will claim, really known, known as independent of the constructivity of the knowing act. The Kantian

view may or may not be accepted but the question is certainly legitimate if what is claimed to be known is known in the realist's sense of the term. The realist apparently would not admit the necessity of testing whether what is supposed in the first instance to be known is really known.

22. The known content should be what need not be known but where is the content that is known as such? The self-evident, we take it, is what is known to be independent of knowing in the sense of being eternally true without requiring to be known; but is any-thing admitted to be self-evident in the reflective consciousness? No known content is absolutely indubitable and in any case there is no agreement as to what content is indubitable. But some content or other appears self-evident in the sense of there being an explicit consciousness of doubt about it being unintelligible. The unintelligibility of doubt about a content should be distinguished from what is called the inconceivability of the opposite. Inconceivability of the opposite is understood only by trying to conceive it and to try to conceive it is to entertain a problem in thinking or meaning, if not of knowing. But there are cases where the problem of thinking the opposite of the content known is not entertained and one is conscious of its not arising at all. To be conscious of a content as self-evident is to be conscious not of its negation being unmeanable but of the problem of meaning the negation not even arising. We are conscious of the self-evident in this sense though the negation of what appears as such may later come to be conceived through a new self-evident cognition or revelation.

23. What we reflectively speak of as true or false is a judgment. The self-evident is that of which we cannot be conscious except as true. Is there then any self-evident judgment? To form a judgment is apparently always to be conscious of the *problem* of meaning its

negation. This applies even to what is taken as a necessary judgment. Its negation is found to be inconceivable only after it has been tried to be conceived, and it is so found because it is but the elaboration of a systemic concept which is really a *postulate* that is neither true nor false and may admit of rival postulates. It is a direction of imagination in which what tends to be imagined is eo ipso believed. The belief is here not properly cognitive but is what may be roughly called a feeling of cognition. It is the consciousness that something *must be* without the consciousness that it is: it is as though one dimly felt what must be. The so-called necessary judgment is an analysis of the content of such felt cognition and is not properly knowledge.

24. What however is inferred, i.e., believed as what *must be* because something *is*, is believed also as what *is* and as such cannot be said to be merely felt as known. It is only the necessary that is not consciously inferred that should be so characterised. That a conclusion follows from a premise or premises is the only content that can be claimed in reflective consciousness as self-evidently ksown and not merely necessarily known i.e., felt to be known. Properly speaking, indeed, that a conclusion follows from a premise is not a judgment though expressed as such. The 'following' is not a relation of contents that is itself a content co-ordinate with them. Still as it is not an arbitrary subjective relating of contents, we cannot say it is not a *believed* relation though it is not content of consciousness.

25. A disguised form of this inferential 'following' we have in a judgment like 'A implies B' which may be paraphrased 'to know A is to know B' What does the word 'is' here stand for? The two knowings stand for subjective acts but the connecting word 'is' does not mean another act co-ordinate with them. Nor does it mean a relation of the contents A and B that is a third content. It appears to be a relation not of the contents but of the cognitions in respect of their

content, being itself however no subjective act of cognition. It cannot be said not to be known though it is not content of the knowing of which A and B are contents. Whether it is the content of the reflective consciousness is not known in the reflection itself and so *for the reflective consciousness* it means neither the consciousness nor the content of consciousness.

26. The self-evident is to reflection a relation that is without being the content of a knowing that is known. 'To know A is to know B' cannot be said to be no judgment and yet here we are not conscious of the problem of meaning its negation. It may well be that the assertion is a mistake but when it is made, it is made on the basis of an immediate unquestioning belief which is yet on the reflective level. The problem of meaning the negation of a perceived content does not arise during the perception because perception is not on the reflective level. But it, is only reflectively that we say 'to know A is to know B' and yet the knowledge here is immediate so that if later it turns out to be false, it is taken to be an illusion and not merely a thinking error. Since the knowledge is reflectively immediate, there is not only no conscious problem of meaning its negation, there is the consciousness of such a problem not arising. It is only about what is known as the *content* of knowing that such a problem arises. So it is about judgment generally (which is on the reflective level) except what we take to be the primordial judgment viz., 'to know A is to know B' It is primordial judgment because it is the basis of necessary judgments that are the bases of all other judgments. A necessary judgment is still known mediately through the baffled attempt to conceive the opposite. This also is based on a judgment like 'to know the inconceivability of the negation of a judgment is to know the judgment to be axiomatic'. A judgment of the form 'to know A is to know B' is self-evident judgment which is implied in all other judgments. That the terms of a judgment *have* a relation i.e., appear

to be related to the relation only means that to know the terms is to know the relation—which is just a judgment of this form.

27. That the copula of this primordial self-evident judgment is not known as a content requires further explanation. The judgment is, indeed, knowledge and knowledge of the contents A and B as known, but so far as it is knowledge of the relation implied by the word 'is', it is not knowledge of it as a content that is known. In the case of a judgment like 'A is B', we understand the copula as a relation that is at least partially a content on a level with A and B. But in the judgment 'to know A is to know B' the 'is' is not on a level with the cognitions of A and B, far less with A and B. It is not known as known like the cognitions and their contents in the reflective consciousness. How then do we say that it is known? Because the sentence 'to know A is to know B' is significant and what it signifies cannot be disbelieved. The import of the sentence or of the word 'is' in it is, in fact, understood only when already spoken and not in the speaking of it. When even understood as already spoken, it is not retrospectively taken as the content of that speaking and *distinct from it*. It is understood, in fact, as *spoken* but not as spoken of. The word 'is' in the judgment is not understood as known *content*.

28. What is understood (without disbelief) only as already spoken and not in the speaking of it is understood as known but not as known content. By 'known content' is meant what is *knowable* as distinct from the knowing of it. It may not sometimes be so known in the knowing of it but it may be known later. The import of the word 'is' in the judgment 'to know A is to know B' is not so knowable at all and may accordingly be (loosely) called a known no-content. It may be suggested that the import of the word 'is' here, therefore, is the knowing act itself (or I) that is known by first appearing as content and then getting denied. It does not, however, appear at all as content to be negated: it is only symbolically spoken of later as

content in the full consciousness that it is only verbally distinguished from the problematic knowing of it. Meantime the knowing of A and B that appears to reflection is definitely distinguished from it. What then the judgment 'to know A is to know B' signifies is known but does not appear as content to be accepted or rejected. It appears neither as known knowing nor as the content of such knowing.

29. This judgment is the only self-evident entity of which reflection is aware and the copula in it is not only not known as content but is explicitly known as what known content—including the apparent reflective content 'known knowing'—is not. The known position from which all content is distinguished—as represented by the copula here —is implied in all reflective knowledge, in all judgment like 'A is B' where the 'is' means this over and above a relation that is a content.

30. To sum up. In reflection on a content as known, the content implies knowing and is indefinitely distinct from it in the sense that it *means* this reference to knowing (though it means perfect distinction from knowing), that it does not mean independence of this reference and is not known as what is accidentally known. Reflection demands that it should be so known. The content is known to be only accidentally known i.e., to be only accidentally a content, when it is self-evident. The only self-evident of which we are reflectively aware is a judgment of the form 'to know A is to know B' or what the word 'is' in it stands for, this being meant in all judgments or knowledge on the reflective level. This then is the element in all that is reflectively known that is known as what need not be known, the element that is free from the implicational relation of the content to the knowing of it, the element that reflection demands to be isolated but cannot itself isolate. This is the absolute for knowing that demands to be freed from its immanence in the implicational distinction of content and knowing.

31. So far about knowing. We may now rapidly indicate how the implicative relation of content and consciousness is demanded to be resolved in the case of willing and feeling. What implication of content and consciousness does reflective willing present? The willed content, as has been pointed out, is constituted by willing in the sense that apart from willing it is nothing at all. Yet the constituted content as definite in itself appears as a limitation to the constitutive willing: willing appears to be necessarily the willing of what is foreign to itself. In the reflective stage the willed content is appreciated as real through the willing but yet as its limitation, not as its self-limitation. It is not apparent at this stage that the will limits itself to realise itself, freely commits itself to a being to annul it and become freer. Reflection demands that the limit that is necessarily constituted by willing should be realised as self-limitation in this sense. That is how the implication of content and consciousness is problematically understood to be resolvable in the sphere of willing.

32. To elaborate the problem. The relation of two contents willed at once may be taken to suggest the relation between willed content and willing. Two contents e.g., two acts are said to be willed at once when one of them is a means to the other. Two unrelated acts cannot be said to be willed at once and two acts that are jointly means to a third act cannot be *distinctly* willed in the willing of the third act. A conscious will-relation of two contents must be a relation of prior and posterior, the prior being that through which the other is possible. In the relation of means and end as *willed*, the end is the prior through the willing of which it is possible to will a content *as means*. Now this relation of means and end has to be understood as the relation of willed content to willing. A willed act has to be taken as a means to the willing of it though it is through the willing that the willed act is possible. It is difficult to understand, however, how the willing of an act is the end of the act willed, how in other words

willing is realised by the putting forth of the act, how one can be said to act in a particular way in order to act freely.

33. That we objectively act to be subjectively free, that the good will and nothing but the good will is the value for which we will an act—the view, in fact, of Kant—may be called the idealistic view in this connexion. The realistic view here then would be that we act for an objective end and not for the subjective end of being free; and an extreme form of the view may be conceived that we objectively act in order that we may objectively act for evermore. In the case of knowing, we pointed out, the realistic view is prima facie more acceptable than the idealistic view. In the case of willing apparently, the idealistic view is acceptable in the first instance. The realistic view amounts to saying that there is no willed act that is good in itself and the view that we objectively act in order that we may objectively act is just its logical consequence and its reductio ad absurdum. The idealistic view is consonant with the nature of reflective willing—viz.,. that the prior is the end, but in the reflective stage it appears to amount to the barren statement that it is good to will what it is good to will. The demand is to find a vital meaning for the statement, to understand how willing is a willing of itself.

34. Reflection indicates how it is to be understood. There is the difference between 'I will this act' and 'I will this act that I ought to will', when the former is not contrasted with the latter, the will-consciousness is expressible as an imperative 'let this act be done'. When, however, it is contrasted, it is expressed as mere information 'I am doing it' while the latter is properly expressed as an imperative 'let this be done' which implies 'I may not do it'. In contrast with it, the former appears as a statement of fact though by itself it appears as an imperative. The implication is that willing as represented by the former is itself a being that is to be superseded by willing as represented by the latter, that what is taken as free is implicitly not

free, that therefore we will an act in order to get rid of the being of the act, get rid of the self-complacent will to continue in this being— what may be called the will to indolence. Reflection indicates the way but cannot understand willing or freedom at its limit.

35. In reflective feeling there is the definite consciousness of an indefinite distinction of the content felt and the feeling of it. The content felt is not definite in itself like the known or willed content and is understood in reference to this indefinite distinction definitely appearing to reflection *as though* it were a unity. We say 'as though', because the unity does not appear as a definite self-subsistent unity from which its constituents are distinguishable. The implication of content and consciousness would be resolved in the sphere of feeling, if a unity of this kind could be apprehended. In the feeling of two contents together, we can reflectively apprehend a self-subsistent unity. Reflection accordingly demands such a unity of felt content and feeling but cannot itself understand it.

36. To explain. In the apprehension of an object having spatial parts as beautiful, both the whole and the parts are felt but differently. The whole as a known content is distinct in itself and even if it be conceivably distinguished *from* the parts, the parts *as in the whole* cannot be distinguished from the whole and, therefore, can only be imperfectly distinguished from one another. The parts are, however, distinguished in the feeling way from the whole, being, in fact, felt as not felt in the way the whole is felt. The whole is felt to be beautiful but the parts are felt to be indifferent, felt to be 'only known', such feeling of their mere knownness being necessary for the appreciation of the beauty of the whole. To feel two contents at once then is to feel their unity and to feel them otherwise than the unity. We try to understand the relation of the felt content and the feeling of it on this analogy. They appear imperfectly distinct and unity means to reflection an imperfect distinction of the constituents.

But the unity does not appear to reflection self-subsistent in the sense of the constituents being distinguishable from it. Such a self-subsistent unity is, however, demanded.

37. As in the case of knowing and willing, so here one may imagine an alternation of realistic and idealistic or objectivistic and subjectivistic views. The unity of felt content and feeling may be understood as content that is indefinitely other than consciousness or as consciousness that is indefinitely other than the content. Value may be regarded as a kind of object though not as completely distinct from the consciousness of it as the known object or it may be taken to be an impersonalised feeling as somehow expressed in the object and thus objectified symbolically but not as a known character. Neither view appears to have any advantage over the other. Does reflection, however, indicate how consciously the alternation may be stopped and the unity come to be definite in itself?

38. Taking value, the unity of felt content and feeling, realistically as objective, we are reflectively aware of the value as referred to the known object that is distinguishable from it. We feel the object as known to be not the value, to be neutral, felt otherwise than the value. This is *feeling* the distinction of the object from the value of it and it is thus that the value tends to appear distinct in itself by having the object distinguished from it. So also if we take the value as an impersonalised feeling rather than as an objective character, in understanding it as expressed in the object we may feel the knowing of the object as somehow *inside* the impersonal feeling, involved in it without being confused with it, much as the image in a mirror shows the mirror to be unaffected by it. Thus we may be said to be aware of the felt object as well as of the individual feeling as distinct from their unity.

39. So far the relation of felt content and feeling appears to be similar to the relation of two contents of the same feeling. In both there seems to be a unity from which its constituents are felt to be distinct. There is, however, discrepancy in an important respect. In appreciating a beautiful object where we feel the object as a whole as well as the parts, the parts that appear neutral are *together* felt to be distinct from the whole that appears beautiful. The beautiful object as beautiful thus appears in feeling as a whole isolated not only from other objects but also from its own knowable parts and thus shines as a self-subsistent something in the air. We cannot understand such a thing about the unity of content and consciousness called value. The felt content and the feeling consciousness are only *alternately* distinguished from the value that is their unity. The demand is for them *together* to be feelingly distinguished from value so that it may shine in isolation as a self-subsistent unity. To put it more correctly, the demand is for the concept of a value that is independent of valuation, of its reference to a known object. Reflection understands the problem but does not see the solution.

40. In all these cases then, reflection tries to understand the relation of the content of a mode of consciousness to the consciousness on the analogy of the relation of the contents of the same consciousness and finds that the analogy can be definitely extended only halfway, although it can indicate the way in which the indefinite aspect that remains over could conceivably be defined. In the case of knowing, how the known content could be without being known is not reflectively understood although the consciousness of the self-evident as distinct from the evident is consciousness of such a *possibility*. In the case of willing, it is reflectively indefinite how willing is the end of the act willed but the consciousness of the *ought* is consciousness of the possibility of getting rid of the being of the

act willed. In the case of feeling, value should be understood but cannot be reflectively understood as the definite self-subsistent unity of felt content and feeling, but there is the consciousness of its possibility in the reflective appreciation of a beautiful object as what 'never was on sea or earth', isolated from its knowable relations not only to other objects but also to its own parts.

41. In all these cases, again, it will be noticed that what demands to be understood cannot actually be understood because such understanding would involve a species of negation that to reflection is unmeaning. In the case of knowing a known content has to be understood as what need not be content of any knowing. In the case of willing, the reality of willing has to be understood as the negation of being, of the being even of the content that is willed. In the case of feeling, the being of value has to be understood by the known as such being distinguished from it. To reflection, for the known content to be without being known is for it to be intrinsically unrelated to knowing in the way of distinction or identity. To be conscious of A and B, not to be able to deny either and yet to say they are utterly unrelated is apparently to state a contradiction. So to understand the willed act to be distinct from willing and yet to be nothing apart from it, or—to put it differently—for the act not to be and yet to be real as willing is to conceive the negation of an emergent distinct or the emergent distinction of a negation. To take the felt value also as a being from which known being is distinct is to be definitely conscious of an indefinite, to entertain without disbelief an *appearance* or an indifference of being and non-being. All the three —unrelatedness, negation of the emergent or the emergence of negation, and the indifference of being and non-being—imply unmeaning modes of negation to reflection; and yet the specifiable indefiniteness in the content of reflection demands to be defined precisely through such modes of negation. To admit the absolute in

any form is to admit a negation that is unintelligible to the logic of the understanding.

42. The absolute may be generally defined from the standpoint of reflection as what is free from the implicational dualism of content and consciousness. There are three ways in which this freedom can be understood. The content may be freed from its reference to consciousness i.e., from its contenthood. Or consciousness may be freed from its reference to content, in which case it ceases to be conscious of anything beyond itself. Or the implicational relation itself may be freed from its terms as a definite self-subsistent unity. The known that is free from its contenthood is known as the content that need not be content, is the self-evident *is*, just what we call *truth* —the absolute for knowing. Consciousness that is free from its content (in the sense that it solely constitutes its content, makes the content a content, creates its distinction from itself) is *freedom* of the will—the absolute for willing. The implicational relation of content and consciousness that is freed from their distinction as a unity is *value* in itself—the absolute for feeling.

43. Truth, freedom and value then are absolutes for knowing, willing and feeling. It is impossible to avoid this triple formulation of the absolute though the notion that there are three absolutes would be just as illegitimate as the notion of there being only one absolute. The absolute is not a *known content*, about which alone the question 'one or many' has meaning. Truth is self-evident and is as such known but is no content; of value as the self-subsistent unity of content and consciousness, we cannot say either that it is not known or that it is like truth self-evident and, therefore, is no content; and there is no question even of knowing freedom, the belief in freedom being, as Kant pointed out, no intuition but willing itself. It is meaningless therefore to cognitively assert that there are three absolutes or one absolute. The absolute has, however, to be

formulated in this triple way. Each is absolute but what are here understood as *three* are only their verbal symbols, they themselves being understood together but not *as together*.

44. For freedom, an alternative name would be reality. The real is understood either as will or what is given to will Will means free will or freedom which though not theoretically known is not disbelieved, the belief in willing being willing itself. The expression of willing is always an imperative 'let this be done', which means no known being and, if anything, means 'let this known situation here be negated, *used* as means, melted into the future'. Willing in this sense is the negation of being and is yet real, its reality consisting in the supersession of being. This comes out more explicitly in the consciousness of the imperative as the moral *ought. Ought* is real as the explicit rejection of the is or the actual that is known, explicit annulment of the known being of the presupposed 'natural willing'. Known being may be real but reality is understood in its purity as the conative rejection of known being; or more accurately, since everything has to be understood here in conative terms, as the freedom to withdraw or abstain from 'natural willing'. Natural willing, called 'natural' in reference to the *ought*, is in itself an imperative: the person who wills says to himself 'let this be done' and not 'I am doing it'. So any willing and specially the willing to abstain from willing is unknowable freedom or reality. What is given to the will is also said to be real because either it is consumed by the will as a means to itself as end or if it cannot be so consumed, it has to be taken as an opposed will. Freedom or reality may accordingly be taken as synonymous.

45. Freedom or reality then is not known or, in other words, it is meaningless to call it truth. The true is the self-evident, that of which we are conscious as known but not as known content. Freedom or willing is not known at all or if we are aware of knowing it, we are

aware of its knownness as illusory. We are only aware in one grade of willing that a presupposed willing of another grade—natural willing, as we have called it—had an illusory being or appeared to be known. What is known, however, may be either the self-evident in its purity or some relation of *given* contents—meaning contents given *to the will*—with the form of self-evidence. Every judgment, as has been pointed out, involves a self-evident judgment of the form 'to know A is to know B'. The self-evident in its purity is eternal truth and not reality: but a relation of given contents is not only said to be true but cannot also be said to be not real.

46. The real then is not true but the true may be real. So speaking of truth and value, we may say that truth is not value but value is not untrue. Just as the predicates true and false do not apply at all to freedom or reality, so the predicates valuable or worthless do not apply to truth. Truth is not felt or if it is felt, it is felt as unfelt i.e., as no value. But the predicate false applies to value in so far as the falsity of a felt value is denied though its truth cannot therefore be asserted. A value like beauty is evident but not self- evident; it appears as a content to an appreciative consciousness and appears without being disbelieved as an illusion but not as what need not have reference to the consciousness. The self-evident is the true and the evident is true if it implies self-evidence and till the self-evidence becomes explicit, it cannot be said to be false.

47. Again in respect of reality and value it may be said that while the predicates real and unreal do not apply to value, reality or freedom cannot be said not to be a value. Value is a felt being and is neither given to willing nor is itself willed into existence though it may appear as the fulfilment of willing. It is in this respect similar to truth which may shine out in fulfilment of willing in the form of attention but is not brought into existence through its causality. Reality or freedom may, however, be felt and an act that is claimed

to be willed is at least not morally indifferent if it is felt to have been genuinely willed. An act, in fact, that is felt to be morally indifferent is eo ipso felt to have been not free, not willing at all, the sole proof of freedom being in the retrospective moral valuation. To say that an act is free is to take it as not valueless though it may be going too far to assert that freedom is a value. Value is a felt *being* while freedom or willing is felt as the real negation of a known being and can at best be the felt being of a negation (of known being).

48. Thus it appears to be meaningless to speak of truth as a value, of value as real or of reality as true while we can significantly speak of value as not false, of reality as not valueless and of truth as not unreal, although we cannot positively assert value to be truth, reality to be value and truth to be reality. Each of them is absolute and they cannot be spoken of as one or many. In one direction their identity and difference are alike meaningless and in another direction their identity is intelligible though not assertable. Truth is unrelated to value, value to reality and reality to truth while value may be truth, reality value and truth reality. The absolute may be regarded in this sense as an *alternation* of truth, value and reality.

Acknowledgments

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Volume 4:
Philosophy of Religion

Edited by Roy W. Perrett

Indian Philosophy

A Collection of Readings

Series Editor

Roy W. Perrett

Massey University

Series Contents

1. Epistemology
2. Logic and Philosophy of Language
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Philosophy of Religion

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Series Preface

No anthologist succeeds in including everyone's favorites, so a few words about the principles of selection seem appropriate. Firstly, as with other volumes in this Garland series, priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. Readers in search of further bibliographical assistance should consult what is now the standard source: Karl H. Potter, *Bibliography of Indian Philosophies*, 3rd rev. ed. (Delhi: Motilal Banarsidass, 1995), and the online updates to it available at the "Indian Philosophy Bibliography" (http://faculty.washington.edu/kpotter/). Secondly, the emphasis throughout is on *philosophical* studies of Indian philosophy. Consequently, much excellent historical and philological work has been omitted. Thirdly, the desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology. This restriction has prevented the inclusion of more work by Indian authors.

Finally, I would like to acknowledge gratefully all the good advice and generous assistance I have received from Chakravarthi Ram-Prasad, Mark Siderits, and (most especially) Stephen Phillips. The blame for any shortcomings that may remain rests, of course, solely upon my own shoulders.

Series Introduction

The five volumes of this series collect together some of the most significant modern contributions to the study of Indian philosophy. Indian philosophy is one of the great philosophical traditions of the world. Unfortunately, however, its philosophical riches are not always as readily accessible to Western philosophers as might be desired. The selections in these volumes help to redress this situation by giving readers easy access to some of the best philosophical work in the area, including material that is often difficult to locate.

Collectively the selections in these volumes explore many of the important commonalities and differences between the Indian and Western philosophical traditions. These similarities and differences are philosophically pregnant. There is enough in common between Indian and Western philosophy to suggest that the philosophers in both traditions are often engaged with similar problems and hence should be able to communicate with each other. However, there are also sufficient differences between the traditions to suggest that they may have some novel perspectives to offer each other.

In choosing the selections for this series priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. The emphasis throughout is on *philosophical* studies of Indian philosophy. The desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English,

but also that most of them use a minimal amount of unglossed Sanskrit terminology.

Volume 1: Epistemology is concerned with the nature and scope of Indian *pramāṇa* theory, i.e. that part of Indian philosophy concerned with the nature and sources of knowledge. Indian philosophers developed a causal theory of knowledge and acknowledged the existence of a number of valid ways of knowing, including perception, inference and testimony. The Indian *pramāṇa* theorists thus discussed many issues that have also occupied Western epistemologists, often offering importantly different perspectives on these matters. They also sometimes addressed various interesting questions about knowledge that are unfamiliar to Western epistemologists.

The selections in this volume discuss Indian treatments of epistemological topics like the means of knowledge, realism and anti-realism, truth, knowledge of knowledge, illusion and perceptual error, knowability, testimony, scepticism and doubt.

Volume 2: Logic and Philosophy of Language is concerned with those parts of Indian *pramå~a* theory that Western philosophers would count as logic and philosophy of language. Indian philosophers and linguists were much concerned with philosophical issues to do with language, especially with theories of meaning, while the Indian logicians developed both a formalised canonical inference schema and a theory of fallacies. The logic of the standard Indian inferential model is deductive, but the premises are arrived at inductively. The later Navya-Nyāya logicians went on to develop too a powerful technical language, an intentional logic of cognitions, which became the language of all serious discourse in India.

The selections in this volume discuss Indian treatments of topics in logic and the philosophy of language like the nature of inference, negation, necessity, counterfactual reasoning, many-valued logics, theory of meaning, reference and existence, compositionality and contextualism, the sense-reference distinction, and the nature of the signification relation.

Volume 3: Metaphysics is concerned with the complement to *pramāṇa* theory, i.e. *prameya* theory. Whereas the *pramāṇas* are the means of knowledge, the *prameyas* are the knowables, cognisable entities that constitute the world. With respect to the number and kinds of such entities, there was a very wide variety of opinion among classical Indian philosophers — including variants of monism, dualism and pluralism about both entities and kinds. Many metaphysical topics were debated, but two of the most important were causation and the nature of the self. The competing theories offered about these two issues also raised other questions about the metaphysics of wholes and parts, substances and properties, and universals and particulars.

The selections in this volume discuss Indian treatments of topics in metaphysics like ontology, constructionalism, universals, negative facts, mereology, causation, relations, freedom and determinism, and theories of the self.

Volume 4: Philosophy of Religion is concerned with something that can be described as "Indian philosophy of religion," i.e. "philosophy of Indian religions." Contrary to popular Western belief, classical Indian philosophy was not indistinguishable from Indian religion — as even a cursory glance at the first three volumes of this series will demonstrate. Religious concerns, though, did motivate the work of many Indian philosophers. However, important differences between the major Western religions and the major

Indian religions (Hinduism, Buddhism, Jainism) mean that the shape of Indian philosophy of religion is often significantly different from that of Western philosophy of religion.

The selections in this volume discuss Indian treatments of topics in the philosophy of religion like the problem of evil, God, theological monism and dualism, atheism, the concept of a perfect being, reason and revelation, rebirth and karma, religious language, religion and politics, ritual and *mantra*, and the religious determinants of metaphysics.

Volume 5: Theory of Value is concerned with Indian discussions in the areas of ethics, politics and aesthetics. The Indian philosophers had a good deal to say about the theory of value as they vigorously discussed topics like the ends of life and the relation of virtuous action to those ends. A traditional Hindu classification recognises four classes of values: *dharma* (morality, virtue), *artha* (wealth, power), *kāma* (pleasure), and *mokṣa* (liberation). *Mokṣa* is usually held to be the highest value and is extensively discussed in the paradigm Indian philosophical texts. Indian political and legal theory is concerned with the values of *artha* and *dharma*. Aesthetic pleasure is one of the subject matters of a developed body of writing on aesthetic theory. *Rasa* ("flavor"), the special feeling or enjoyment that pervades an artwork or is aroused in its contemplator, is commonly seen as detached from the aims and concerns of ordinary life, with some even suggesting that it provides a foretaste of the bliss of *mokṣa*.

The selections in this volume discuss Indian treatments of topics in the theory of value like the proper ends of life, the relation of *dharma* and *mokṣa*, liberation and pleasure, the sources of our knowledge of right and wrong, the ethics of non-violence, the status

of the supra-moral, egoism and altruism, the theory of *rasa*, aesthetic experience and catharsis.

Volume Introduction

Contrary to popular Western belief, classical Indian philosophy was not indistinguishable from Indian religion — as even a cursory glance at the first three volumes of this series will demonstrate. But religious concerns did motivate the work of many Indian philosophers (as they did too the work of many of the great Western philosophers), and there definitely is something that can be described as "Indian philosophy of religion," i.e. "philosophy of Indian religions" (Matilal 1982, Perrett 1989). However, important differences between the major Indian religions (Hinduism, Buddhism, Jainism) mean that the shape of Indian philosophy of religion is often significantly different from that of Western philosophy of religion.

One fundamental difference is that theism is not central to all the Indian religions in the way it is to the Western religions. While there certainly were classical Indian philosophers who were staunch monotheists (e.g. the Viśiṣṭādvaitins, the Dvaitins, the Śaiva Siddhāntins), overall this was not the dominant trend. In the first place, Buddhism and Jainism are both non-theistic religions. Then within Hinduism orthodoxy is traditionally determined by an acknowledgment of the authority of the Vedas, not a belief in God. Hence among the orthodox Hindu philosophical schools Sāmkhya and Mīmāṃsā are both atheistic, Advaita is ultimately non-theistic, and Yoga and Nyāya-Vaiśeṣika are minimally theistic in the sense that they allow only significantly attenuated powers to God. Two implications of this for Indian philosophy of religion are evident. First, Indian philosophy of religion is much less centered on philosophical theology than is Western philosophy of religion. Second, even when

the Indians engage in philosophical theology, it often has a rather different flavor (Pereira 1976).

Consider, for instance, Indian discussions of the problem of evil (Herman 1976, Matilal 1982). The theistic problem of evil is how to reconcile the existence of evil with the existence of an omnipotent and benevolent God. Jaina and Buddhist atheists appealed to the existence of evil as an atheological argument, but Indian theists responded by limiting God's powers, holding that even God is constrained by individuals' own karma. Nor did they accept that the existence of evil in the world showed that the world is not God's creation. The world is God's *līlā* or divine play (Sax 1995), a creation with no purpose, and hence something for which God bears no moral responsibility.

On the other hand, Indian theists were not always persuaded of the soundness of the natural theologians' arguments for the existence of God (Smart 1964). The philosophical theologian Rāmānuja, for instance, criticized teleological arguments for God's existence, basing belief in God instead on the authority of scripture. Part of his motivation was to retain a proper creaturely dependence: salvation should rest solely with God, and not with human reasoning. Nyāya-Vaiśeṣika, however, has a long tradition of natural theology, including elaborate causal and cosmological arguments for the existence of God (Bhattacharya 1961, Chemparathy 1972, Vattanky 1984 and 1993). But the God (*Īśvara*) of the Naiyāyikas has distinctly attenuated powers: he does not, for instance, create the world *ex nihilo*, though he is the author of the Vedas. Yoga has an even thinner conception of God: *Īśvara* is nothing but a self (*purusa*) that has never been confused with nature (*prakṛti*), and his only role is as a meditative focus for the *yogin*.

Other Hindu philosophers effectively manage without God altogether. Classical Sāṃkhya is atheistic, and Mīmāṃsā even more aggressively so. The Advaitin monists hold that *Brahman* is ultimately non-personal, while the Kāṣmir Śaivite monists identify the God Śiva with our true self (*ātman*), thus dissolving the usual theistic gap between God and his creation.

All of these schools, however, acknowledge the authority of some kind of revelation. For the Hindu philosophers, it is the Vedas. Consequently non-theistic Hindu philosophers like the Mīmāṃsākas and the Advaitins deny that the Vedas are authored by God, claiming instead that they are eternal and authorless (*apaureṣeya*). The Mīmāṃsākas go even further, arguing that the Vedas are purely injunctive and that all apparently declarative sentences in the scriptures are in reality merely declamatory.

The Buddhist and Jaina philosophers entirely reject the authority of the Vedas, but they accept the authority of their own scriptures authored by (highly developed) humans. In Jainism the scriptures are the products of the totally omniscent *tīrthahkaras*, whose omniscience guarantees the reliability of the scriptures in much the same way as God's omniscience guarantees the reliability of the Vedas for some Hindu theists. The Buddhist position is a bit more complicated: the scriptures are the word of the Buddha but the Buddha's omniscience is restricted to knowledge of all the truths necessary for salvation, and our ordinary human knowledge of the truth of the doctrines expressed in the Buddhist scriptures is based upon independent logical and empirical investigation.

While there was thus considerable debate in the Indian tradition about the existence of God and about the nature of revelation, there was surprisingly little argument about a crucial background assumption shared by all Indian philosophers (save the

Cārvāka): a belief in the twin doctrines of rebirth and karma. (Strictly speaking, these two doctrines are logically distinct, but in the Indian context they are very much intertwined). Perhaps because of this consensus, Indian philosophical arguments for the truth of the doctrine of rebirth are not plentiful (Smart 1964, Hick 1975). Indian defenses of the law of karma are also scarce, though there was much discussion of its mechanisms (O'Flaherty 1980, Reichenbach 1990).

Finally, there was also much Indian discussion of various issues raised by particular features of Indian religion. These include: the relation of orthodox Indian religion to religious imperatives, the relation of religion to politics, the meaning of ritual and *mantra*, the nature and cognitive significance of meditation (*dhyāna*) and devotionalism (*bhakti*). On all of these topics the Indian philosophers of religion had interesting and novel things to say.

The selections in this volume begin with two articles on Indian theodicy and the concept of *līlā*. Herman analyses the commentaries of the rival Vedāntin philosophers Śamkara and Rāmānuja on *Brahmasūtra* II. 1.32–34. They both agree that the doctrine of lild absolves God from blame for the evils and sufferings in creation, and that the rebirth assumption means that each of us is beginninglessly responsible for our own suffering. Herman is critical of the *līlā* solution to the problem of evil, though much more sympathetic to the rebirth solution. Biderman's piece, however, defends the intelligibility of Śamkarā's version of the *līlā* theory of creation by invoking the distinction between regulative and constitutive rules and explaining creation in terms of constitutive rules.

Kāśmir Śaivism is a monistic school which holds that the true self (*ātman*) is identical with the God Śiva. In contrast with the better known Advaitin monism, it also holds that the self is creative, a

subject of actions. Nagel's article discusses both the "trancendental" arguments of Utpaladeva and Abhinavagupta for this doctrine of unity and the idea of God implied by the doctrine (see also Lawrence 1999).

Monism (particularly in its Advaitin form) was fiercely opposed by Vedāntins of the Viśiṣṭṭādvaita and Dvaita schools (Lott 1980). Thus the Viśiṣṭātadvaitin philosophical theologian Rāmānuja espoused both monotheism and an ontological dualism of God and creation (Carman 1974, Lipner 1986). But Rāmānuja also stressed the intimate relation between God and his creation, which he held to be analogous to the relation between human persons and their bodies. Lipner's piece explores Rāmānuja's claim that the world is God's body — a theme from which, he suggests, Christian theology and practice might profit (see also Overzee 1992).

The other major monotheistic Vedāntin school is Dvaita, founded by Madhva (Sharma 1981, 1986). Betty's article presents an attempted refutation of Advaita by the sixteenth century Dvaitin philosopher Vādirāja, who argues that monism is logically committed to the absurd position that *Brahman* is identical with the souls that sin and suffer (see also Betty 1978).

The next two selections both deal with Indian principled atheism, but from different angles. Bilimoria discusses the curious position of the Mīmāṃsā, an orthodox Hindu philosophical school of scriptural exegetes committed to deconstructing theistic arguments in order to shore up the independent authority of the Vedas. Part of the impetus for this Mīmāṃsā project is the influence of the very differently motivated atheistic arguments of the Buddhists, lucidly reviewed in the paper by Hayes. The Buddhists rejected both the existence of God and the authority of the Vedas, but the

Mīmāṃsākas labored to show that the latter issue was logically independent of the former.

Although Buddhism in India was consistently opposed to theism, when Buddhist philosophers began to think systematically about the properties essential to a Buddha they began to attribute to the Buddha various great-making properties much like the traditional properties of God. Hence Buddha came to be seen as omnipotent, omniscient, and even coextensive with the limits of the cosmos (Griffiths 1994). Griffith's paper presents one such systematic theory of Buddhahood, that of classical Yogācāra, and offers some comparisons with the Christian perfect being theologians' attempt to conceive of God as a maximally great being.

Indian treatments of reason and revelation are the focus of the following two articles. Taber presents the Advaitin position as expounded by Samkara, who rejects reasoning with regard to those spiritual matters knowable only through scripture but admits it for other purposes (see also Murty 1974). Hayes addresses the complex relation of the Buddhist epistemologists to the question of the authority of the Buddhist scriptures. He shows how some of the Buddhist philosophers saw epistemology as a strictly secular science, while others saw it as part of an overall religious program (on Buddhist hermeneutics see further Thurman 1978, Lopez 1988).

Central to all the Indian religions are the notions of rebirth and karma, though classical Indian philosophical arguments for the truth of either doctrine do not abound. The paper by Perrett discusses two arguments for pre-existence and defends the metaphysical coherence of the general Indian account of rebirth. Explanations for the scarcity of Indian defenses of the law of karma are offered in the papers by Potter and Deutsch (see also Perrett 1998). According to Potter, the "law of karma" is to be understood as

analogous to the "law of causation": neither are really laws of nature, but rather presuppositions of inquiry. Deutsch goes further, pointing out that the law of karma cannot be justified in terms of any of the *pramāṇas* recognized in Advaita and hence logically has the status of what he calls a "fiction" (which does not necessarily mean that it is false).

Griffiths' paper, in contrast, construes Buddhist karmic theory as committed to various straightforwardly factual truth-claims, a number of which are demonstrably false (see further White 1983, Griffiths 1984). Forrest also finds difficulties with the claim that reincarnation accounts for karma and inherited responsibility. Instead he offers a speculative reconstruction of the doctrine of karma which does not require the truth of the reincarnation thesis, suggesting that we can replace reincarnation by "participation" in a collective entity (for a different treatment of karma in terms of collective responsibility see Perrett 1998).

The two succeeding articles by Biderman and Perrett are both in different ways concerned with the relation of orthodox Indian religion to the notion of *dharrna*. Biderman discusses the philosophical implications of the Mīmāṃsā non-cognitivist analysis of *dharma* in terms of religious imperatives, an approach that effectively equates language and religion (see also Biderman 1995). Perrett addresses the question of the traditional relation of religion to politics in India, arguing that there are at least two major strands of thought on this issue in the classical Indian philosophical tradition. One strand favors an internal relation of some sort between religion and politics, the other an opposition.

The Vedas are primarily concerned with ritual and worship, and among the demands of *dharma* upon members of the twice-born castes are various ritual obligations. Ritual, then, is central to

orthodox Indian religion, and *mantra* is not only an essential part of Vedic rituals, but also of later religious developments in both Hindu and Buddhist tantrism (Alper 1989). McDermott's article is an attempt to analyse certain ritualistic acts of *mantra* recitation as illucutionary acts and provide necessary and sufficient conditions for their successful performance. This approach assumes, however, that *mantras* are speech acts, forms of language. Staal's provocative piece emphasises instead the meaninglessness of Verdic ritual, denying that ritual consists in symbolic activities which refer to something else. *Mantra* is largely assimilable to ritual and thus alinguistic. However, ritual is an activity governed by explicit rules and hence a subject amenable to serious study, as the Indian science of ritual demonstrates (see Staal 1988).

The selection by Smart offers a bold interpretive hypothesis about the religious determinants of Indian metaphysics, constructed around the polarity between meditation (*dhyāna*) and devotionalism (*bhakti*). Smart argues that there are various predictable correlations between an Indian philosophical school's position with respect to that polarity and the presence or absence within that school of certain other elements like theism, absolutism, the existence of the self, rebirth and the possibility of liberation.

Smart's thesis might be challenged in at least two distinct ways: either by questioning the presuppositions of his typology, or by denying the details of his claims about particular systems. An example of the former response would be to question his assumption that there were ever any discrete "schools" of Indian philosophy. Such scepticism would be an implication of Krishna's provocative paper (see also Krishna 1991). The supposed existence of such "schools," Krishna argues, is just one of three prevalent "myths" about Indian philosophy. The other two "myths" are that Indian philosophy is spiritual and that it is bound by unquestionable

authority — assumptions also endorsed by Smart, though much more guardedly.

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A. L. Herman   Indian theodicy: Śarhkara and Rāmānuja on Brahma Sūtra II. 1. 32–36

Whatever other differences the two major proponents of Vedānta may have, they reach a high accord in their comments on Badarayana's *Brahma Sūtra or Vedānta Sūtra* IL 1. 32–36.[1] This high accord centers on the proper treatment, handling, and solution of what in the West is called "the problem of evil" and in particular "the theological problem of human evil." Both Śarhkara and Rāmānuja deal with the problem of evil elsewhere in the *Brahma Sūtra bhaṣyas*, where the question is taken up as to whether or not Brahman's nature is compromised by the imperfect world,[2] but nowhere else does their treatment reach the high pitch and sustained philosophic force as in the passages under discussion here.

The principal question taken up in *BS*. II. 1. 32–36 is whether or not Brahman (God) created the world. The answer that both Śarhkara and Rāmānuja give is in the affirmative. But the way to that answer provides us with some highly interesting philosophic jousts with the problem of evil, and some entertaining answers to numerous insistent objectors along that way. Let me take the *sūtras* one at a time, freely translate each of the five, and then attempt to explain what is going on as that going-on is understood by Śarhkara and Rāmānuja. The program of argument here calls for certain unnamed objectors supporting the thesis that God cannot be the cause of the world, followed by replies from the opponents of this view, Śarhkara and Rāmānuja. In each case, the latter two Vedāntists build up the objector's position with reasonable arguments and then attack these arguments with reason and scripture (*śruti* and *smṛti*).

Bādarāyaṇa opens with the summary of an objector's argument:

II. 1. 32. Brahman cannot be the cause of the world because to cause or create involves motives or purposes (and if Brahman has either, He is imperfect).

   Śarhkara puts the argument supporting the objector's conclusion into the form of a dilemma: "Either God had a purpose or he didn't, a motive or not." If "purpose" is rendered "desire," I think the force of the objection can be seen in a number of interesting ways, and ways that relate to what might be called "the creator paradox." For if God created the world, He did it for a purpose. If He had a purpose then He desired some goal. But if He desired something, then He was lacking something. But if He lacked something, then He's not perfect, that is, not wholly fulfilled. Śaṁkara summarizes this objection, which he and Rāmānuja will shortly attempt to answer, as follows: "Now, if it were to be conceived that this endeavor of the Highest Self is useful to itself because of its own desire, then such supposition would contradict the scriptural statement about the Highest Self being always quite contented."[3] Thus that horn of the dilemma leads to a contradiction.

   But suppose Brahman created without a purpose. This way, too, there is a problem. For to act without purpose is in effect not to *act* at all. And if creating is an act, then one could not create without some purpose. A contradiction results: If one tries to create without purpose, then one cannot create, for to create means to act purposefully. God ends up purposelessly purposing, a contradiction. Śaṁkara states this horn of the dilemma as follows: "If, on the other hand, one were to conceive no such purpose (behind such endeavor), one would have to concede that (in such a case) there would not be any such endeavor...."[4] In summary, if God creates with purpose, then this act exposes a glaring inconsistency in the nature

of God. On the other hand, if God tries to create (endeavor, desire, act) without desire, endeavor, or action, this proves contradictory and impossible. But must we be hung on these horns? No. Bādarāyaṇa slips between them followed by a host of Vedāntins. Both of our commentators must step a narrow line in what follows: first, between having God as the cause of the world while avoiding the conclusion to which the creator paradox leads ; and second, having God as the cause of the world while avoiding the conclusion that God brought evil into it since He was the cause of it. The latter puzzle is, of course, the problem of evil.

II. 1. 33. But as with men at times, so with God, creation is a mere sport.

Sport (*līlā*) is understood here to be a third sort of activity. It is therefore neither purposive nor purposeless, those words being inapplicable to what God's sport is really like. Śaṃkara uses the example of breathing—it is not an act of will but follows simply "the law of its own nature."[5] Thus *līlā* prompts creation out of sheer joy, an overflowing from God's great and wonderful sportive nature. We have here, then, a solution of sorts to the problem of evil. It amounts to saying that while evil exists in the creation, it cannot be due to its "creator," since what He did was not really an act of creation at all; the creation is a kind of playful overflowing of His joyful inner nature. Suppose we call this "the evil-in-the-world-is-not-from-God-who-did-not-create-it-but-merely-sported-it solution" or "the *līlā* solution." Rāmānuja speaks to the *līlā* solution with an entertaining example: "We see in ordinary life how some great King, ruling this earth with its seven dvīpas, and possessing perfect strength, valor, and so on, has a game at balls, or the like, from no other motive than to amuse himself...."[6] Moreover, it is not in creation alone that *līlā* is evidenced, but in the world's ultimate destruction as well: "... there is

no objection to the view that sport only is the motive prompt-ing Brahman to the creation, sustentation, and destruction of this world which is easily fashioned by his mere will."[7] Some comments follow on this attempted solution to the problem of evil.

1. The Vedāntists actually don't need the *līlā* solution to counter objections raised by the problem of evil. All objections can be handled rather neatly, we shall see, by what we shall call "the rebirth solution." For, as we shall show, all superhuman, human, and subhuman suffering or evil can be explained or adequately accounted for by the rebirth solution, together with one or two slight additions involving, for example, the nonbeginningness of the world.

2. *Līlā* solves nothing as far as the problem of evil is concerned, for while *līlā* may be a purposeless act, it is surely an activity about which we can ask, Who did it? That is to say, labeling *līlā* as mere motiveless, goalless sport, sensible enough in itself, does not rule out asking, Whose intention was it to engage in this motiveless activity ? God is not responsible for the purposes in *līlā*, for supposedly there are none, but He is surely responsible for the act that brings *līlā* into existence. Let me make this clearer. Suppose I am going to play a game. Suppose the game I play is like observing a work of art, an aesthetic activity, in which there are no goals, purposes, or ends, but just activity for activity's sake, enjoyment without repercussions (that is, I am not doing it to win a prize, raise my blood pressure, impress my peers, or work up a sweat). But while I have no desires raised and satisfied in the aesthetic or game activity itself, I did have an antecedent desire and it was only realized when I subsequently played the game. If we distinguish between the play as activity, aesthetic in itself, and the play as a-something-to-be-done, a goal in itself, then we can see that the former is consequenceless and goalless at the time the activity is going on, and since there is no motive being satisfied, it is like *līlā*-play without purpose. However,

the latter, involving a decision to play, the getting of the ball, the going to the museum, the bringing about of the act of play, aesthetic indulgence, or *līlā*, surely has a goal or aim, namely, goalless or aimless activity. I am not responsible for the purposes in *līlā*, for there are none. But I am responsible for the act that brings *līlā* about. Thus I may be responsible and to blame for what happens after *līlā* is over, or after separate acts of *līlā* have been made.

3. I bounce a ball on the wall. My neighbors are annoyed. They say, Why did you bounce the ball? I say, I had no purpose. They say, but your bouncing keeps our baby awake, disturbs our reading, frightens my wife, angers my mother-in-law, cracks our walls. Now, can I say, I'm not to blame—I was only playing, and we all know there are no purposes in playing? That would be silly. What am I responsible for ? The bouncing. Does the bouncing bother anyone? No. It's the noise from the bouncing that bothers. Could I conceivably argue that I'm not responsible for the noise? Nonsense. In the act of play, from my point of view, what I do is without purpose. From my neighbor's point of view, what I do has results that are all too evident.

4. I pull the wings and legs off a baby bird, as Richard Brandt has said Navajo children do in their play. Someone says, What are you doing? and I say, Playing. I have not excused my act, only described it. Granted that in a game the purpose is lost, that is, the game's purpose is lost in the game, to say this does not excuse what results from the game, but simply labels a certain sort of activity, and rules out silly questions like, Why are you playing a game? Thus to describe God's activity as *līlā* is to describe the play act from two possible points of view. From God's point of view, it is a description of a purposeless, aimless play, without motives, without intentions. But from the neighbor's point of view, from the suffering bird's point of view, *līlā* is fraught with effects and consequences that are undesirable. *Līlā* cannot be used to justify the results that follow from

the act; *līlā* merely describes the act. The Vedāntists have mistaken the description of *līlā* for a justification of *līlā*.

5. While one cannot ask, Why are you playing that game? after one has been told that a game is being played, one can, nonetheless, ask, Why are you playing that game that way? If I move the king two places in a chess game (and I am not castling) and you say, Don't you know the rules of chess!?, your question would be quite legitimate. If the game has rules and one violates the rules, one can ask, What game are you playing? If God plays a game of creation, and seems to violate rules for playing the creation game, we might very well ask, Doesn't He know the rules of the game of creation? I assume this question is at the very heart of the problem of evil. And philosophers are notorious for having all sorts of legitimate suggestions for better ways of playing, and better rules for, the creation game.

6. Some games which one plays in a sportive mood can be won or lost. Chess and most card games can be played to such a conclusion. Some games, like bouncing a ball on my neighbor's wall, cannot be played to a winning or losing conclusion. But all games can be played better or worse, with greater or less facility, more or less joy, commitment, playfulness, indulgence, and what-have-you. "A man full of cheerfulness on awakening from sound sleep dances about without any motive or need but simply from the fullness of spirit, so is the case with the creation of the world by God."[8] But such a joyful man can dance poorly or well, better this time than last. To leap out of bed and dance on the sides of one's feet, clumsily, is no good at all. One can learn to express one's sportive feelings better than, that. Practice in expressing joy is possible and necessary to true joyfulness. If I leap out of bed, overflowing with *Gemütlichkeit* or *Freude*, and then trip all over my feet in expressing my feelings, I am not going to be very joyful for very long. One expresses one's joy and sorrow, and

one's feelings in general, in appropriately tried and tested ways: at the piano, singing in showers or cars, kissing and hugging friends or one's self. One can get better at such expressions, just as one can improve one's self in other purposeless or goalless activities, like games. It is therefore legitimate to ask, When Brahman, through *līlā*, expressed His joy, why didn't He do it better? If He is perfect He could, and if He's good He would want to, so why didn't He ? We are back once again to the problem of evil.

7. Śaṁkara's example of breathing is curious, but the same question raised above can be applied to it. Some people are poor breathers—"shallow breathers," my physician calls them. They breathe at the very top of their lungs; their rate of respiration, instead of the normal sixteen per minute, runs twenty-five to thirty. They must breathe fast, for only one-fourth to one-third of their lung's capacity is being used. They are bad breathers—but they can be taught to breathe better. Looking at the creation, one could ask of Brahman, Why didn't He learn to breathe out or in better? Once more we are back to the problem of evil. Thus the *līlā* ploy solves nothing.

Finally, as we have seen, Rāmānuja adds another dimension to the *līlā* story that will make the problem of evil stand out even more strongly: "... sport alone is the motive prompting Brahman to the creation, sustentation, and destruction of this world... ."[9] That other dimension is the dissolution (*pralaya*) of the universe, for Brahman, in His/Its trinitarian role of Brahmā, Viṣṇu, and Śiva, is of course the exhaler (Brahmā), the sustainer (Viṣṇu), and the inhaler or destroyer (Śiva) of the universe. Thus if Brahman's play involves not simply creating and maintaining the universe, but if Brahman is the great destroyer as well, and if that too is play, then Brahman's putative sins are far grander than those ever imagined by any Western theologian

with respect to Deity. The Vedāntist has his work cut out for him, indeed.

But as I have tried to indicate, the Vedāntists have another theodical card to play that seems to get them out of the problems raised by *līlā*.

II. 1. 34. Discrimination (treating beings unequally) and cruelty cannot be attributed to God, for He is aware of the Karman of beings ; and the Scriptures say so.

The objector, as interpreted by Śaṁkara, opens his case by saying: "It is not reasonably sustainable that the Lord is the cause of the world, because there would result the predicament of (the fault of) discrimination and cruelty (attaching themselves to the Lord)...."[10] In the West a distinction is frequently made between evils *caused* by man and evils *endured* by man as sin and suffering, respectively, Augustine's distinction between *peccatum* and *poena*. The objector tells us here that both sin and suffering could be attributed to God if God were indeed the Creator of the world. The objector then continues with another example of evil—call it "cosmological evil"— that we have seen above in Rāmānuja's commentary. Śaṁkara's objector, in his turn, says: "Similarly by his inflicting misery and by destroying all his creation, faults of such pitilessness and cruelty, as would be abhorred even by a villain, would attach themselves to the Lord."[11] Then the objector concludes again that the Lord cannot be the cause of the world. The cyclic act of absorptive destruction is on a scale so vast that, aside from rather curious cosmologies such as those of Empedocles, the Stoics, and Friedrich Nietzsche, it has no strict parallel in the West, unless one counts the biblical Armageddon

and Flood, or the Last Judgment as envisioned by Albrecht Dürer. This mythical vision of destruction and de-evolution, this horrendous cosmological display of the Lord's ferocious and destructive side, comes closest to what Leibniz would call "metaphysical evil," and to what Augustine on a human scale had called "original sin." Both metaphysical evil and original sin intend an imperfection inherent in the basic cosmic stuff or material, respectively, in the universe and man, because of the fact that though each was created by God, each fell short of the perfective majesty of God. Each may be good, but, as Augustine and Leibniz are at pains to try to bring across, each is nonetheless imperfect.

There is undoubtedly confusion here between metaphysical imperfection and moral imperfection such that, given the first, the second does not necessarily follow in the way Augustine and Leibniz thought it did. But the objectors Śaṁkara serves up to us do not have that problem. They are not caught in any such confusion since their point is not so much that the creation is good or bad (they do not say) but that, whatever its moral or metaphysical nature, it has to be destroyed. Since nearly all Hindus accept the cyclical theory of history and cosmology, there would indeed seem to be a problem: the Lord does destroy the creation, men, animals, gods, the whole glorious and inglorious works. Hence with this cosmological or metaphysical evil we have three distinct formulations of the problem of evil, since we have three evils: human evil, superhuman evil, and subhuman evil. Thus the objector's case.

The form this evil takes comes closest to certain. doctrines of metaphysical evil in the West, as I said, but only because the scale, the sheer quantity of each, is the same. However, Indian attitudes toward the quality of the creation are far different, particularly for those cosmogonies that see nature, man, animals, and the gods as all having been created from a similar substance. Thus both Śaṁkara

and Rāmānuja argue at *BS*. I. 4. 26 that the creation is Brahman since Brahman is the material cause of the creation; Śaṁkara uses the analogy of clay and the pots made from the clay, and at *BS*. I. 4. *27* he uses the example of the spider (Brahman) and its thread (world) to make his cosmogonie point. Rāmānuja is more cautious in these passages, realizing as he does that the evil in the creation could be attributed to Brahman if the connection between them is too close. Especially in *BS*. I. 4. 26 and 27, this threat seems more than obvious to him. He agrees in the latter commentary that Brahman has the entire universe for Its body, but the universe is the result of Brahman modifying (*pariṇāmayati*) Itself "by gradually evolving the world-body." Both authors agree that Brahman is modified is some way, but the question remains, Has It been modified sufficiently to escape the problem of evil with respect to the creation?

The cosmogonie theory most prevalent in Western metaphysical theories, creation *ex nihilo*, avoids a "pantheism" by stressing the absolute separation between creator and creation, but leaps faith-first into the nasty tangles that Augustine and Leibniz get into: If the creation is imperfect, how can you still call it good? and, How could a perfect Creator create an imperfect universe ? This gulf between man and God, inherent in most Western theological cosmogonies, is reflected in the theological dogma regarding the utter transcendence of God, the absolute dependence and depravity of man, and the agonizing sense of guilt and the necessity for atonement that pervade most classical Western religions. Indian religions, perhaps because of their cos-mogonie theories, do not have these particular problems.

From *BS*. II. 1. 34, we thus far have *two* objections to the Lord's being the cause of the world: first, that the Lord would be responsible for evil in . the world, and second, that the Lord would be responsible for the destruction of that world. Let us call the first the

"discrimination and cruelty argument," and the second the "destruction argument." Both arguments, as we have seen, lead to the problem of evil in all three of its formulations. Rāmānuja expands on the discrimination and cruelty arguments in an interesting way, expertly displaying the two parts of this argument. Call the first part "the discrimination argument." Objectors, according to Rāmānuja, would say: "But the assumption of his having adequately created the world would lay him open to the charge of partiality, insofar as the world contains beings of high, middle and low station—Gods, men, animals, immovable beings...,"[12]

The discrimination argument is frequently expressed in the form, Why was I born poor? blind? a *Śūdra*? lame? with such and such defect?, when other persons I know are not poor, blind, *Śūdras*, lame, or defective. In other words, if the Lord is impartial and just, why are there such terrible inequalities in the creation ? Doesn't God play favorites ? Therefore, isn't He partial, unjust, and therefore imperfect?

The second part of this argument, call it "the cruelty argument," is also familiar to us, and Rāmānuja states it simply that God would be open to the charge "... of cruelty, insofar as he would be instrumental in making his creatures experience pain of the most dreadful kind...,"[13]

The arguments thus presented by the imagined objectors of both Śaṁkara and Rāmānuja come down then to the discrimination argument, the cruelty argument, and the destruction argument. All three, as we have seen, lead to the problem of evil, for they respectively embroil the perfect majesty of the Lord with injustice, cruelty on a micro-scale, and cruelty on a macro-scale. But all three are apparently neatly handled by Śaṁkara and Rāmānuja with the same counterargument, that is, the rebirth solution. Śaṁkara says:

The Lord should rather be looked upon to be like 'rain'. Just as rain is the general cause which makes rice and barley grow, while the different potentialities inherent in their seeds, are the cause of the disparity between such rice and barley, even so in the creation of Gods and men etc. the Lord is but the general common cause only [see below], while for the inequality between Gods and men etc., they have their own different individual actions as the cause....[14]

Rāmānuja explains further that it is because of *karman* that different potentialities inhere in men, and that whatever happens to men is due to their own previous actions. Quoting "the reverend Parāṣara,"[15] he says: "He (the Lord) is the operative cause only in the creation of new beings; the material cause is constituted by the potentialities of the beings to be created."[16] Rāmānuja adds that "potentiality" here means *karman*. There then follow from both Śaṁkara and Rāmānuja references to the scriptures.

The key to the Lord's escaping complicity in cruelty and evil lies in the phrase "operative cause" for Rāmānuja, or "general common cause" for Śaṁkara. It can best be understood by returning to Śaṁkara's rain and grain analogy. Seen in this light, the Lord emerges as the beneficent and benevolent gentle rain that drops from the heavens, watering the just and the unjust alike. In philosophical parlance, God looks like a necessary but not a sufficient condition for growth or evil in the world, hence He seems relatively blameless ; for the true motivating or dynamic forces of creation, maintenance, and destruction in the universe are the transmigratory souls themselves which are *karman*-driven, returning lustfully and thirstily to the source of their longings, the trough of the wicked world. Some comments are in order on *BS*. II 1. 34.

1. It is easy to see how the discrimination argument and the cruelty argument can be handled by the rebirth solution. The conditions of

birth, and the evils and goods attendant upon them, can all be laid to *karman* and the various cosmic processes operating seemingly independently of the Lord. What ill befalls you, that you deserve. It is true that God cannot help you— the *karman* must be played out. It is also true that this seems severely to limit God's power: for if there is indeed a cosmic force, *karman*, and cosmic results of this force, *saṁsāra*, operating independently of the will of God, then God's power would seem to be curtailed. But just as Saint Thomas's God could not raise an unraisable stone, or make tomorrow occur today, so also it might be countered here that Brahman cannot make the universe unjust. And surely to alter karmic laws for one's own purposes would make that universe unjust. Thus the rebirth solution might counter the arguments of discrimination and cruelty while at the same time it produces some puzzles regarding the conjunction of God's love and mercy (let no man surfer) with God's justice (let no man surfer purposelessly). The rebirth solution, however callously employed, can thus be used to explain and justify the most abominable cruelty. But can it justify cosmic cruelty, that is, can it satisfy the destruction argument?

2. Why must the entire universe be dissolved? Why must the *Kali Yuga*, with all its attendant woes and ills, be followed by even greater woes and ills issuing in the supreme cataclysmic climax ? Two answers are open to the theological cosmologist turned theodicist:

a. The world is so supremely wicked at this point, so thoroughly filled up with wanton, unregenerate, unrealized souls, that *mokṣa* for any of them is impossible, and the *līlā* must consequently end. It may therefore be good of God to stop all that wickedness, to relieve the sufferings of all those unfortunate souls.

Thus the Lord is in complete control, He sees the way things are, and by an act both merciful (to end their suffering) and just (they

deserved this end) He throws the switch and the dissolution occurs. Here again rebirth would or could counter the destruction argument.

b. The Lord has no choice. The cosmic process is automatic, so that after the required number of years have passed, the *Kali Yuga* arrives and the process of disintegration and dissolution and destruction must occur whatever God's feelings in the matter.

One is reminded of Plotinus, of course. The process of manifestation is such that the farther away from the One the creation evolves, the more non-Being it has, the more instability it contains, the more evil it manifests, until like a ball on a rubber band having expanded to its greatest permissible length, it suddenly springs back to its source. This answer throws us once again into the old puzzle about limitations on God's powers mentioned above in 1. For it would seem that universal cosmic processes are at work such that God could not suspend them. This may mean a limitation to His powers, or it might again simply be a case of God's being unable to do anything contrary to His nature without involving Himself in self-contradiction. The cosmologists must, it seems, worry over this problem if the rebirth solution is to answer the problem raised in the destruction argument. If the Lord is responsible for the end and the end contains evil, then it would seem *prima facie* that the Lord is responsible for evil. How responsible? Indians themselves differ as to whether or not the law of *karman*, and presumably other cosmic laws as well, are controlled by God. The *Nyāya-Vaiśeṣika* and Aurobindo Ghose, among others, maintain that the law of *karman* is in varying degrees apparently under the guidance and control of God since *adṛṣṭa* alone is unintelligent and consequently cannot produce the proper, that is, just effects. But in Jainism, Buddhism, " the Sāmkhya, and the Mīmāṁsā "the law of karman is autonomous and works independently of the wall of God."[17] This produces for the Indian theodicist a curious dilemma, which I call "the *saguṇa* paradox": If

God is in control of the law of *karman* then He is involved with the suffering and misery dispensed through or by way of the law ; thence the problem of evil with its gnawing consequences. If, however, God is not in control of the law of *karman*, and it works independently and autonomously of God, then God is not all-powerful, since an impersonal and autonomous force is somehow one of the conditions for suffering and misery. The theodicist welcomes neither conclusion.

3. This brings us to Śaṁkara's analogy: God is like rain; the help rain gives is, in the language of Thomas Aquinas, for example, merely permissive and not causative (in the sense that it is not responsible). But what happens to an argument like the permissive argument in a theodicy like St. Thomas's ? Thus even to permit evil when you have the power and nature to stop it is immoral. Some comments on Śaṁkara's way out:

a. God is not like rain, for the analogy can be twisted all to pieces from the simple fact that rain is neither all powerful, all knowing and beneficent, nor benevolent ; it's just wet.

b. Rain is the occasion for seed growth, but rain does not know that this seed contains, let us say, ergot ; rain does not know that more than 1 percent ergot in feed grain or wheat flour can cause tissue damage and death due to alkaloid poisoning in animals and humans. But these are things that the Lord presumably knows. To know this, to have the power to prevent it, and not to prevent it is surely, to say the least, curious and inconsistent, if not downright immoral.

c. If God is an "operative" or "general common cause," what does this mean? To say that God is a necessary condition to seed growth, like rain or water, will not do. For if we make God's will, hence God, a full-fledged necessary condition for evil, then God is morally responsible for evil, just as rain is physically responsible for growth. But while we cannot blame rain for the seed's growth even with physiological

ergotism as the outcome, we can blame God who, unlike the rain, could have prevented the evil because of His peculiar moral properties. To make God a causal factor at all, in whatever sense, would lead to His complicity with, His responsibility for (in a strictly personal-human sense), and thence His blameworthiness in the resulting situation.

4. If God is either implicated in the end (hence blamable) or merely a pawn in the hands of uncontrollable cosmic processes (hence not all-powerful), it would seem that He is also involved in both of these ways in the beginning of the creation or the origin of the universe. Thus suppose we grant that the rebirth solution takes care of the three arguments advanced above, so that my life today with its constituent suffering is the result of my previous life. There is a kind of sense to this, and despite the puzzles, even a sort of justice to it such that one must come to admire the ingenuity and boldness of the rebirth solution face to face with the problem of evil. But what about the origin of evil? In particular, What about a pure unsullied soul at the beginning, in the Golden Age, at the start of it all? What then brought about evil? I could not be responsible for that, because I was not there before event number one to make my fall the product of *karman* and rebirth. Thus Radhakrishnan puts the objection: "Many passages in the *Upaniṣads* tell us that 'In the beginning there was Being only, one without a second'. There was no *Karma* which had to be taken into account before creation. The first creation at least should have been free from inequalities."[18] So where did they come from? God? But this objection, surely a familiar one to Westerners, is parried by the Vedāntists in the *sūtra* that follows:

II 1. 35. If it is objected, that in the beginning there could have been no differences, and the Lord must then be responsible for the differences (good and evil) that came, then we counter, there is no beginning.

Radhakrishnan speaks to this conclusion: "The world is without beginning. Work and inequality are like seed and sprout. They are caused as well as causes."[19] Śaṁkara agrees that the objection stated above in 4 would indeed stand as valid, if it were not for the beginninglessness of the world. Using the seed and sprout example mentioned previously, he concludes that action and creation are like the seed with its sprout that gives rise to seed again, and so on and so on: "But transmigratory existence being beginningless, there need not be any objection for action and the variety of creation, to act, alternately as cause and effect of each other, like the seed, and the sprout. ..."[20]

But now a fundamental difference between Śaṁkara and Rāmānuja emerges. Rāmānuja, quoting the *śruti*, argues that the flow of creation goes on through all eternity and that the souls have always existed, though subsequently their names and form were developed: "The fact of the souls being without a beginning is observed, viz. to be stated in Scripture...."[21] He then quotes the *Śruti* and selects one passage in particular that makes his point about the eternal and pluralistic nature of souls: "Moreover, the text, 'Now all this was then undeveloped. It became developed by form and name' [*Bri. Up.* I. 4. 7] states merely that the names and forms of the souls themselves existed from the beginning."[22] Of course, none of this could be said by Śaṁkara, who, as we shall see, has problems

precisely because he cannot speak of eternal and plural souls. Rāmānuja concludes: "As Brahman thus differs in nature from everything else, possesses all powers, has no other motive than sport, and arranges the diversity of the creation in accordance with the different Karman of the individual souls, Brahman alone can be the universal cause."[23]

In summary, Rāmānuja can hold that God and individual souls are distinct and have existed from eternity. As we have said, with his strict Advaita position Śaṁkara cannot maintain such an apparent pluralism, however hedged about and qualified Rāmānuja might subsequently decide to make it. But this internal disagreement does not alter the fact that the argument for the beginninglessness of the world seems to take care of the objections to the rebirth solution mentioned above in 4. The whole matter is developed further in the last *sūtra* we shall discuss.

II. 1. 36 The beginninglessness of *saṁsāra* is proved by reason, and found in Scripture.

Rāmānuja advances no arguments in his commentary at this point; he very briefly summarizes what he has more or less said already. On the other hand, in his commentary Śaṁkara devotes nearly six times the space that Rāmānuja does to expanding on a point he had previously raised in *BS*. II. 1. 35. In that earlier *sūtra bhāṣya*, Śaṁkara had said that we would be involved in a circularity if we assumed that there was a beginning with no prior human actions, and that the Lord was guided in his dispensings of good and evil to living beings by their prior actions (the argument he attacks also is self-contradictory), for then work depends on diversity of life conditions, and the latter in turn would depend on work.

In the *bhāṣya* to *sūtra* 36, Śaṁkara delivers what I take to be five separate arguments to establish the beginninglessness of *saṁsara*, or at least five arguments can be wrung without violence from the following statement (I mark the arguments with Arabic numerals):

That transmigratory existence is beginningless is reasonably sustainable. [1] If it were to have a beginning, then it having come into existence capriciously without any cause, [2] the predicament of persons who have attained Final Release being again involved in transmigratory existence, would take place, [3] as also the predicament of 'fruit arising without any action having taken place, because (under such supposition) there would be no cause for the disparity between pleasure and misery (to come into existence). [4] ... Without action, a physical body would not result, nor would action result in the absence of a physical body, and hence it would all result in the fault of mutual interdependence. If on the other hand, transmigratory existence is understood to be beginningless, then it would all be reasonably sustainable.... [5] That, transmigratory existence is beginningless, is understood both from the Scriptures and Smritis.[24]

Let me take these arguments in order and look closely at them. The general form of all of them is essentially *reductio*. Thus, accepting a beginning of the world, you have to accept: (1) capricious or chance creation; (2) released persons becoming unreleased; (3) effects arising without any causes; physical-body-effects arising without action-causes in particular, and action-effects arising in the absence of physical-body-causes in particular; and the wrongness of *śruti* and *smṛti*. But all of (1) to (5) are, Śaṁkara says, patently absurd, so our assumption must be wrong; hence *saṁsara* has no beginning. But does all of this really follow? Let us suppose a beginning:

1. Why must we admit to "capriciousness" (Apte introduces the word in his translation ; I do not find it or any synonym for it in Śaṁkara's text) and why must it be causeless? If it happens by chance, then chance causes it. What is wrong with chance causes ? But why resort to such subterfuge ? God could perfectly well cause the world. By an act of His super will He could bring it into being *ex nihilo*, or out of His own superabundant Self. It is true that this gets us into the problem of evil, but it certainly does not lead to the absurdity to which Śaṁkara claims it must lead if we accept the beginning-hypothesis. Our possibilities are not limited ; to think so is to commit the myopic fallacy. There is a cause, according to our counterargument, and it can be chance or God; hence Śaṁkara's narrowed possibility does not apply.

2. There is nothing to guarantee that liberated souls must perforce return to *saṁsara*. It is true that nothing guarantees that they will not on the information we have been given here. But if we do have a cause, God, then He! could guarantee that liberated souls do not return. The assumption that they must or will is again a form of the myopic fallacy. The belief that they might could be equally well entertained under either a beginning-hypothesis or a beginningless-hypothesis. If chance rules the universe they might return, but with chance ruling could one even speak of liberated souls? There might be none at all. If God rules, they need not return, unless God Himself is capricious, and in that case we are back to chance once again.

3. The third argument, of course, is predicated on the assumption that that first beginning moment of *saṁsara* must be an effect of some action. But we have seen that it could be the effect of God's action. To assume as Śaṁkara does that human first moments *must* be the effect of previous human moments is absurd and without support. When the first gibbering primate came out of the trees and silently walked erect, he was then surely the *first* silent and erect

nonarborial primate: the first human being. Śaṁkara's whole difficulty here, of course, is that he holds strenuously to a *satkāryavāda* theory of causation and a *pariṇāma* theory of cosmogony. These assumptions can be attacked, and presenting a countermodel, for example, with the gibbering primate above, would be one such approach. This counterargument to Śaṁkara will be expanded on in 4.

4. Granted that physical bodies and action are dependent in one direction, that is, a situation in which action causes physical bodies, there is nothing to necessitate mutual interdependence. To assume it, as Śaṁkara does, is to beg the whole question loudly and mightily. For we can argue that physical bodies do not cause action, the first action at least, for that first action could be caused by God in an act of creation *ex nihilo*, let us say, and surely God is not a physical body. Thus there is no reason to fall into the net that Śaṁkara has spread before us ; we simply question his presuppositions. With respect to 3 and 4, I think it is obvious that they both rest on the same causal assumptions such that if either 3 or 4 can be successfully attacked— and I am not saying we have done that—then 4 and 3, respectively, must necessarily fall as well.

5. *Śruti* and *smṛti* are notorious for being many things to many people. It is curious that although Śaṁkara and Rāmānuja both quote scriptural sources to support their proofs for 36, neither quotes the same passages. Rāmānuja quotes selections to back up his Viśistādvaita, while Śaṁkara, of course, carefully steers away from such verses. Thus quoting scripture in the end can prove nothing when passages can be selected to support such diverse views on the soul as those of Śaṁkara and Rāmānuja.[25] This ends our discussion of the *sūtras.*

CONCLUSION

Whatever their basic differences, Śaṁkara and Rāmānuja are agreed on the basic issues regarding the problem of evil. These are essentially three:

1. They both agree that *līlā* absolves God from blame for the evils and sufferings in creation. Who after all can blame a child for acts done in joy and playful exuberance? But the problems resulting from our analysis of play, its putative purposelessness, and its *prima facie* innocence, were too enormous to permit the *līlā* solution to stand as a solution to the problem of evil.

2. The rebirth solution can account for all the evil, human, superhuman, and subhuman, around us today (cf. the cruelty argument and the discrimination argument). Final cosmic dissolutions can be accounted for (the destruction argument) by a form of the rebirth solution that stresses the downright unregenerate state of the creation immediately preceding and even during that dissolution. Thus the rebirth solution manages to meet these three arguments that promised peril for the Lord and that would make the problem of evil genuinely insoluble.

But the price may be high. We are involved once again with problems about the goodness and powerfulness of God who saw what was coming (if He could) but permitted it to happen anyway. If this is justice, perhaps we have need of less of it. Thus while the problem of extraordinary or gratuitous evil can be explained by a reference to previous *karman*, this cannot, the ordinary man might feel, justify the evil. The Vedāntist may counter with the assertion that there really is no extraordinary (unearned or chance) evil, but all is deserved and all is paid back by the law of *karman*. Most persons might object on two grounds:

a. The doctrine is seemingly callous, for it attempts not only to *explain* evil by the rebirth solution but also to *justify* that evil at the same time by calling it "right" or "deserved." One is reminded of early Puritan attitudes to poverty and the poor—the poor you always have with you and their suffering is the will of God. Whether the will of God or the will of *karman*, the position might seem somewhat callous to the ordinary man.

b. The doctrine may lead to quietism and a certain passiveness of spirit that many would find personally and socially immoral. Thus if people suffer because of their previous bad deeds, then if the law of *karman* is seen as the universal arbiter, and if it is just and right in what it brings about, any attempt to assuage the sufferings of others consequently will be seen as an abridgment of their need, their right, to suffering and cleansing. Hence the right thing to do would be to wink at the human plight, and go about one's own merry old selfish moral business. The position might seem to the ordinary man as inevitably leading to such a quietistic conclusion. Further, not only are there these problems with man and the world resulting from accepting the rebirth solution, but we have seen that there are theological problems quite outside the rebirth solution that seemingly place the Divine in the touchy position of having perfection while permitting evil He could prevent, or preventing an evil creation from having so much extraordinary evil. One can well ask, Granted that evil necessarily must come, why is there so much? Why is it so hideous? Why is it so seemingly senseless? Again, of course, the Vedāntist has a ready reply to all such challenges.

3. Both Śaṁkara and Rāmānuja agree, furthermore, that God cannot be responsible for the beginning of creation for the simple reason that *saṁsara* has no beginning. This raises at least one question now, not concerning rebirth and *karman* that He cannot control as in 2 above, but concerning a beginningless creation He

could not start. The whole notion of beginning-lessness needs analysis here, and I want to mention two minor problems connected with it:

a. The Vedāntists speak about a final destruction, or if not a *final* ultimate dissolution, then a series of penultimate ones. How, it might be asked, can you have a dissolution and then a creation without involving yourself in a beginning? If the *Kali Yuga* will end in violence and suffering because all deserve it, then was the Golden Age which preceded it not a time of "beginning" in some sense of that word? And if a beginning in some sense of that word, then how about God and evil in some sense of those words? And if a beginning and God and evil in some sense of those words, then why is there not a problem of evil in some sense of those words?

b. If the Vedas mention, as they do in their various cosmogonie moods (e.g., *R.V.* X. 129; 190ff), origins of the universe, then are these rather straightforward metaphysical myths to be subjected to procrustean therapy just to save Vedāntists from a nasty puzzle ? Thus if the mythology of creation does indeed say that there was a beginning, in some sense of that word, in non-Being, or *puruḷa*, or in an act of Indra or Brahmā, and if you are inclined to take your *śruti* seriously, then is it not the better part of philosophic valor to admit to beginnings and face the philosophic music, rather than to hedge about what "beginning" might mean so that, stretching it a bit, one can come to face oddities like the problem of evil ? Again, the ordinary man might be affronted by this Vedāntic ploy in what otherwise must be seen as a series of brilliant theodical moves to solve the problem of evil in *BS*. II. 1. 32–36.

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[1] *Brahma-Sūtra Shānkara-Bhāshya, Bādarāyana's Brahma-Sūtras* with Shankarācharya's commentary, trans. V. M. Apte (Bombay: Popular Book Depot, 1960), pp. 337–342; *The Vedānta Sūtras of Bādarāy ana with the Commentary of Rāmānuja*, trans. George Thibaut, Sacred Books of the East, ed. F. Max Müller, vol. 48, pt. 3 (Oxford: Clarendon Press, 1890), pp. 477–479. In addition to the foregoing commentaries, I shall be relying on the Sanskrit text in *The Brahma Sūtra, The Philosophy of Spiritual Life*, trans. S. Radhakrishnan (London: George Allen & Unwin, 1960), pp. 361–365. Quotations from these three works will be identified by '*S*' '*Rj*' and '*Rk*', respectively.

[2] Eg., *B.S.* II. 1. 21–29.

[3] Ś,p. 337.

[4] *Ibid.*

[5] Ś, p. 477.

[6] *Rj*, p. 477.

[7] *Ibid.*

[8] *RK*, p. 362.

[9] *Rj*, p. 477.

[10] Ś, p. 339.

[11] *Ibid.*

[12] *Rj*, p. 478.

[13] *Ibid.*

[14] Ś, p. 340.

[15] Cf. *Viṣṇu Purāṇa* I. 4. 51–52.

[16] *Rj*, p. 478.

[17] Satischandra Chatter j ee and Dhirendramohan Datta, *An Introduction to Indian Philosophy* (Calcutta: University of Calcutta, 1950), p. 17.

[18] *Rk*, p. 364.

[19] *Rk*, p. 364.

[20] *S*, p. 341.

[21] *Rj*, p. 479.

[22] *Ibid.*

[23] *Ibid.*

[24] Ś, p. 342.

[25] Cf. Ś, p. 342, and *Rj*, p. 479. Radhakrishnan, the great synthesizer, quotes the scriptural selections from both philosophers (*Rk*, p. 364).

I

The problem of creation lacks well-defined or agreed-upon boundaries. The problem can be dealt with from the point of view of a "pure" cosmology, which develops a theory of this or that causality as the origin of the world, without relying on any theological presuppositions. By contrast, many views of creation embrace theories that rely on theological presuppositions and advance theological speculations. The consensus among Western theistic religions is that creation is inseparable from the existence of a transcendent creator-God; accordingly, these religions represent the theological aspect of creation as bound up with the existence of God. According to the prevalent theologies of Western religions, God's being the creator is what endows the world with its purposiveness. In this view, the world is not the product of chance or arbitrary decision, but exhibits an intelligibility that derives from the perfect plan of the omnipotent being. Moreover, the claim is often made in support of theism that the intelligibility of the universe constitutes a good reason for believing in the existence of God. Both classical theologians and theistically minded philosophers of religion have adopted this, the so-called argument from design.[1]

Regarding the world as the product of God's absolute will might perhaps solve one theological problem, but it does so at the cost of raising others. On the assumption that God created the world with some scheme in mind, there arises the problem of accounting for all those things about the world that do not appear to conform to that

scheme. For example, the classical theological problem of evil arises in this way. If God—who by his nature is absolutely good—created the world in accordance with his will, and did so alone, then how is evil in the world to be explained? Similar considerations provide grounds for discomfort in attributing freedom of the will to man: man's moral autonomy is not easily reconcilable with a world created according to rigorous divine laws.

A bold "solution" to the problems stemming from the theistic theory of creation would be to give up the assumption of the existence of a creator-God. while this move would effectively do away with the problem of evil and the problem of free will, it would be unacceptable for those who hold that the assumption of a first cause is necessary in order to account for the existence of causal laws, and thus, ultimately, for physical phenomena.

A possible way of maintaining the existence of a first cause of the world, while steering clear of such seemingly intractable theological problems as that of evil, divine retribution, and so forth, would be to posit the existence of a creator-God but regard the creation as lacking any purpose or end. This proposal appears in the *Brahmasūtras* II.1.33. In this *sūtra* God is described as creating the world in *līlā*—a term that may be translated as sport, enjoyment, play, and so forth. Thus, creation is regarded as having neither evident nor hidden motive. The same holds true with regard to the way in which God sustains the world, as well as to the possibility of God's destroying the world and creating other worlds in its place; all these acts are described as mere *līlā*.

In this article 1 wish to examine the proposition that God be regarded as creating the world in *līlā*, as it is developed by Śaṅkara in his commentary on the *Brahmasūtras*. I do not intend to discuss the connection between this theory of creation and Śaṅkara's philosophy

in general. Thus I shall not deal with the question of the relation between Śaṅkara's theory of creation and his epistemological and metaphysical positions, despite the fact that it can be maintained that his theory of creation follows directly from his basic epistemological and metaphysical principles. I shall restrict my analysis to Śaṅkara's exposition and defence of his *līlā* theory of creation, with an eye to answering the question whether Śaṅkara ultimately succeeds in defending the theory. To this end I shall provide an exegesis of Śaṅkara's commentary on the *Brahmasūtra* 11.1.33, where the theory is espoused. Reference to Śaṅkara's other writings will be made only when it will shed direct light on his commentary on the *Brahmasūtra* II.1.33. At the same time, I shall make use of a general conceptual distinction—that between regulative and constitutive rules—in order to clarify Śaṅkara's view of God and creation.

I should like to emphasize that it is my belief that, in addition to its intrinsic philosophical interest, Śaṅkara's theory, properly understood, can shed light on the status of God as creator in Indian philosophy. However, I shall not take up this issue in the present article.[2]

II

When speaking of God, Śaṅkara sometimes refers to him as *saguṅa* Brahman (qualified Brahman), and sometimes as Iśvara (Lord). God is thus contrasted with *nirguṅ*— Brahman, who has no properties whatsoever and cannot therefore be adequately described in language. The *saguṅa* Brahman or Īśvara serves a similar function to that of the demiurge in neo-Platonism. In this respect the Śaṅkaran God is viewed as directly related to the world, in other words, as *māyā*, and is therefore open to human understanding, both as the

first cause of the world and as object of devotion. The Śankaran God is, as Deutsch puts it, "that about which something can be said."[3]

Śaṅkara not only holds that God is the creator of the world, but speaks of the specific way in which God carried out the act of creation. Śaṅkara gives two examples in order to clarify the nature of the process of creation:

We see in everyday life that certain doings of princes or other men of high position who have no unfulfilled desires left have no reference to any extraneous purpose, but proceed from mere sportfulness as, for instance, their recreations in places of amusements. We further see that the process of inhalation and exhalation is going on without reference to any extraneous purpose, merely following the law of its own nature.

Śaṅkara then draws an analogy between these examples and God's creation of the world:

Analogously, the activity of the Lord also may be supposed to be mere sport (līlā), proceeding from its own nature, without reference to any purpose. For on the ground neither of reason nor of Scripture can we construe any other purpose of the Lord. Nor can his nature be questioned. Although the creation of this world appears to us a weighty and difficult undertaking, it is mere play to the lord, whose power is unlimited.[4]

Deutsch summarizes Śaṅkara's position with great clarity:

The concept *līlā*, of play or sport, seeks to convey that Īśvara creates (sustains and destroys) worlds out of sheer joy of doing so. Answering to no compelling necessity, his creative act is simply a release of energy for its own sake. Creation is not informed by any selfish motive. It is spontaneous, without any purpose.[5]

At first glance the notion that the creation of the world took place without any purpose seems implausible, if not absurd. It would seem that there is no essential difference between the claim that the world was created in play or sport and the claim that the world exists out of sheer chance. Moreover, it would seem that describing God as creating the world in play or sport makes God a ridiculous figure and makes the very concept of God meaningless. In fact, the *līlā* theory of creation was criticized along these lines. For example, the Jainist school maintained that,

If you say that he created to no purpose, because it was his nature to do so, then God is pointless.

If he created in some kind of sport, it was the sport of a foolish child, leading to trouble.[6]

There is thus reason to believe that the *līlā* theory of creation cannot pass the test of common sense. It remains to be seen, therefore, whether the theory can be given a plausible philosophical explication. To this end I propose that we examine the way in which Śaṅkara explains his theory, and. in particular, the arguments he adduces on its behalf.

III

When he states the arguments in favor of the *līlā* theory of creation. Śaṅkara stresses that in this matter, as in others, arguments are of two distinct types. Śaṅkara thus claims that "on the ground neither of reason nor of Scripture can we construe any other purpose of the Lord"[7] The *līlā* theory of creation is justified both by means of arguments based on reason and by means of those based on scripture. As it is well known, Śaṅkara regards *śabda* as a valid means of knowledge (*pramāna*), and in his works he takes pains to define explicitly the relations between this means of knowledge and the

others—perception (*pratyakṣa*) and inference (*anumāana*). Thus, for example, Śaṅkara regards *śabda* as completely independent of the other means of knowledge.[8] His view is that *śabda* is not meant to provide information about things that can be known by the other means of knowledge. On the contrary, scripture deals only with those matters that, in principle, cannot be known by perception or inference.[9] Hence, should scripture be found to contain assertions that contradict those established by perception or inference, then the scriptural assertions are to be regarded as false.[10] The *śabda* is capable of supplementing knowledge obtained by the ordinary means, but not of overruling it.

We may therefore expect that in justifying his *līlā* theory of creation, Śaṅkara will have recourse to scripture only when the ordinary methods fail him. Later on, I shall deal in detail with the way in which Śaṅkara uses scripture in this connection. First, I shall consider the arguments based on reason that he adduces in favor of his theory.

A quick glance suffices to show that Śaṅkara does not attempt to justify his *līlā* theory in the abstract, but chooses instead to offer two common-sense examples, which are designed to show that not all of our everyday activities are directed toward achieving a specific extraneous end. Śaṅkara's first example is that of men of high position, "who have no unfulfilled desires" and therefore engage in games and recreations for their own sake. His second example is drawn from a different domain. Here Śaṅkara describes the activity of the respiratory system as autonomous, that is, as not serving any extraneous purpose, but instead which "merely follows the law of its own nature."

These two examples are meant to provide analogies to God's action in creating the world. However, it seems as though they are

incompatible. The men of high position who play for their own amusement, without any extrinsic goal, do so on account of their position. Due to their high status, all the desires these men are capable of having have already been satisfied, and this is why they pass their time in recreation for its own sake. The privilege of engaging in games is available only when one's material and spiritual position allows. Thus if we are to regard God's creation of the world as analogous to this example, we must make a number of theological assumptions about God's nature, which entail that he is self-sufficient from the point of view of his desires. We must, in other words, presume that God can "do all things and that no purpose is beyond him" (Job 42:2). Furthermore, God must be regarded as not merely potentially but also actually having unlimited power. (Śaṅkara himself accepts this theological premise in the quotation just cited.)

If, therefore, we are to adopt the example of the men of high position as an analogy to God's creating the world in *līlāa*, we must build into the example a number of theological assumptions that do not seem to be justified by reason. The presence of these assumptions appears to render the example itself unsuitable to its declared purpose, namely, to establish the *līlā* theory of creation by means of reason.

Śaṅkara's second example, that of the autonomous respiratory system, does not stand in need of such theological assumptions. Such assumptions would even be out-of-place in the context of this example; the process of inhalation and exhalation is described as following its own intrinsic laws, and hence the concepts of 'motive' and "desire' are inapplicable to it. The existence of breathing is a state-of-affairs just like any other, and a state-of-affairs, unlike an agent, has no options and does not proceed from motives. That is to say, the existence of a state-of-affairs, together with the laws that govern it, can be known—but a state-of-affairs cannot act.

We should not accuse Śaṅkara of overlooking the distinction between motivated action, on the one hand, and a given state-of-affairs, on the other. In his commentary on the *Brahmasūtras* Śaṅkara takes pains to deliniate this distinction with great clarity. Śaṅkara writes:

An action is that which is enjoyed as being independent of the nature of existing things and dependent on the energy of some person's mind.... Knowledge, on the other hand, is the result of the different means of knowledge, and those have for their objects existing things; knowledge can therefore not be better made or not made or modified, but depends entirely on existing things, and not either on Vedic statements or on the mind of man.[11]

This citation gives us reason to believe that Śaṅkara was acquainted with the distinction between action and knowledge. In light of this distinction the examples of the men of high position and the respiratory system appears to be incompatible. Are we to conclude that Śaṅkara, when it came to grounding his theory of creation, ignored the very distinction between knowledge and action that he himself drew in several places throughout his commentary on the *Brahmasūtras*? I believe that this is not the case. More precisely, it seems to me that the two examples can be viewed as compatible within the framework of reason-arguments alone, without adopting theological assumptions about God's essence and nature. To this end I suggest that we interpret the first example, that of the men of high position, in light of the second, that of the respiratory system. In other words, the second example will be viewed as explicating the first.[12] In what follows I shall explain this suggestion in detail.

IV

My suggestion is that we interpret the first example not in terms of the psychology of the men of high position who have no unfulfilled desires, but rather in terms of what it is that constitutes the domain of their activity. In other words, we must understand what their description of *playing a game* amounts to.

In contemporary philosophy of language, the game is often seen as a paradigm case of what is usually termed a system of constitutive rules, contrasted with a system of regulative rules. Wittgenstein made a major contribution towards the understanding of this distinction and of its importance, although, to the best of my knowledge, he nowhere uses the terms "constitutive" and "regulative." Searle later drew the express distinction between the two kinds of rules:

Regulative rules regulate a pre-existing activity whose existence is logically independent of the rules. Constitutive rules constitue (and also regulate) an activity the existence of which is logically dependent on the rules.[13]

On Searle's view, the import of this distinction is that behavior or activity which is in accordance with regulative rules could be characterized or described even in the absence of the rules. By contrast, behavior or activity which is in accordance with constitutive rules receives a description or specification which it could not receive if the rules did not exist. Accordingly, Searle bases his definition on the distinction between activity that is *not* in principle dependent on its rules and activity that *is* in principle dependent on its rules. Wittgenstein, for his part, stresses a different aspect of the distinction, which I regard as more important in the present context: the distinction between rules whose activity is a means to an external goal and rules which themselves constitute the end of their activity. He writes:

Why don't I call cookery rules arbitrary, and why am I tempted to call the rules of grammar arbitrary? Because 'cookery' is defined by its end, whereas 'speaking' is not.... You cook badly if you are guided in your cooking by rules other than the right ones; but if you follow other rules than those of chess you are *playing another game*.[14] (italics mine).

If we adopt these definitions of constitutive rules, and apply them to Śankara's example of the men of high position, we shall be in a position to see that this example is in fact compatible with the second one, that of the autonomous respiratory system. Both are examples of activity that is not a means to some external purpose. In both examples, the rules do not regulate an activity independent of them; rather, the rules *constitute* the activity; that is, the end of the activity is determined by the rules. In the first example, the rules of the game serve to define its end. Thus, any violation of these rules would be a final departure from the game, or in certain other cases, would establish a new game. Similarly, in the second example, the rules according to which the respiratory system operates establish the 'purpose' of the system (providing adequate respiration in a given time, for instance). It is hardly necessary to emphasize that in the case of the respiratory system we can talk of the existence of constitutive rules only figuratively. The rules that govern the autonomous activity or respiration are rules of nature, whereas the distinction between regulative and constitutive rules refers to institutions whose aim is to define, describe, and sometimes regulate human activities. Nevertheless, the autonomous model of the respiratory system is used by Śankara as an example of any activity that is not viewed as a means for an end but as an end in itself. In this light we may understand why Śankara stressed in both examples that their activities, the playing of games and breathing, take place "without reference to any extraneous purpose."

I should like to note at this point that I do not claim that Śaṇkara himself, either explicitly or implicitly, distinguished between regulative and constitutive rules. My claim is simply that this distinction represents a legitimate interpretation of his *līlā* theory of creation. The distinction enables us to see Śaṅkara's two examples as compatible.

V

The arguments of reason that Śaṇkara adduces thus take the form of an example of a system of constitutive rules. In light of this example we may see the creation of the world as an activity that proceeds in accordance with constitutive rules.

The constitutive description of creation still required to be explained. As mentioned earlier, creation is not to be thought of as a means to any extraneous purpose. Accordingly, the world as the product of creation is to be regarded as 'given' within the constitutive system. The import of the claim that the world is 'given' within the system is far-reaching. Consider for a moment the game of chess. We could scarcely imagine a chess player seriously maintaining that the rules of the rook's and bishop's moves signify some predetermined cosmic harmony, whereas the rules of the knight's move manifest its opposite, absolute chaos. Such a claim could perhaps be defended by an eccentric philosopher, but it is clear that from the point of view of the rules of chess it is absolutely meaningless. And should our eccentric philosopher attempt to amend the rules of the game of chess so as to make them conform to his theory, he would merely succeed in replacing chess with a different game. Likewise, viewing the world as created in accordance with constitutive rules bars us from regarding it as an instrument or means for achieving an external purpose and blocks at the outset any attempt to give the world a metaphysical description. If the

world is a 'given' of a system of rules in accordance with which it was created, then any attempt to ascribe to it some mysterious or sublime significance as its end will either be beside the point or else distort the notion of 'constitutive rules'. Epistemologically speaking, the world is value-free and lacks any transcendent meaning. Thus, the *līlā* theory implies that to search for transcendent-metaphysical meaning would be to abandon the 'epistemological game' in favor of another game, that of the knowledge of Brahman. The latter game cancels the former. Both games cannot be played simultaneously. In this respect the constitutive theory of creation fits in well with Śaṅkara's general view that the world of phenomena is characterized as *māyā*. In the epistemological context, the significance of *māyā* is that the empirical world is to be seen as 'given'. In its metaphysical meaning, *māyā* is illusion and therefore requires us to understand that all the rules by which we grasp the illusory would are themselves part of the illusion.[15]

However, the *līlā* theory of creation goes further than just regarding the world as 'given'. Not only does it regard the action by which God created the universe as bound by constitutive rule—it also regards the creator-God himself as so bound. This latter position is a bold one, certainly from the point of view of Western theologies, but it is not completely foreign to the world of Indian theology. (Intimations of it can be found, for example, in the polytheistic conception of the Vedas.) The relation between God and the world he created in accordance with a system of rules is not akin to the relation between a board-game and its inventor, but more like the relation between the board-game and one who is formally a player in it—a status the player holds by virtue of the rules of the game themselves. In other words, the Śaṅkaran God is totally bound by the constitutive rules of creation.

This latter position blocks theological speculations to the effect that God's being the creator of the universe is only *one* of his many modes or properties. If the rules in accordance with which the act of creation proceeds are in fact constitutive ones, then they constitute both the relevant sphere of activity and the actions of he who engages in it. This means that these rules constitute God's status. Hence God must be thought of as having no status outside of his status as creator. We should not be surprised, therefore, that Śaṅkara absolves God of all responsibility for the inequality, evil, and cruelty in the world—for these do not stem from his constitutively determined status as creator. Śaṅkara writes:

If the Lord on his own account, without any extraneous regards, produced this unequal creation, he would expose himself to blame; but the fact is, that in creating he is bound by certain regards, i.e., he has to look to merit and demerit.... Hence the Lord, being bound by regards, cannot be reproached with inequality of dispensation and cruelty.[16]

The classical problem of evil, which disturbed the slumber of Western philosophers and theologians alike, is thus solved simply and unequivocally through the use of the notion of constitutive rules. Within the limitations of this article I cannot take up the question of the specific characterization of these rules. Suffice it to say that the passage just quoted indicates that they are directly related to the law of karman.[17] With regard to the problem of evil, it is clear that these constitutive rules do not allow us to raise the question of God's moral responsiblity. God is defined by the rules in a way that absolves him of formal responsibility for the existence of evil in the world; by his very (constitutive) nature he is defined as being "*bound by certain regards*"—which are the rules themselves, that define him, determine his status, and constitute his activity.

VI

Before us, then, we have a proposal that a central religious concept—that of creation—can be explained in terms of constitutive rules. Since in this article I am interested only in Śaṅkara's views, I shall not take up various attempts made in India and elsewhere to characterize other religious concepts constitutively; nor shall I deal with the general philosophical implications of such characterization. However, there are two objections to the *līlā* theory of creation that Śaṅkara himself considers; I think we should follow his example.

Both objections seek, each in its own way, to undermine the definition of the act of creation as lacking any extraneous purpose. The first objection is based on empirical grounds and, accordingly, I shall call it the empirical objection. It casts doubt on the possibility that there actually is an activity without any extraneous purpose. In other words, the objection holds that a system of constitutive rules must remain a theoretical entity or an abstract ideal, because in ordinary life it is difficult to find any activity that does not serve an extraneous purpose—either directly or indirectly, expressly or implicitly. That is, activities such as those we take to be 'play' do, in fact, have clear social and psychological purposes, even though these purposes may not be immediately obvious. To conclude, even if a system of rules may seem at first to be constitutive of its activity, closer examination will reveal the rules to be in fact regulative of an activity that is logically independent of the rules.

The second objection is more radical and perhaps more serious. I shall call it the conceptual objection. It seeks not only to question the possibility of actually engaging in such activity, but to deny the very meaning of constitutive activity. One of the commonsense ways to distinguish between rational and irrational activities is to stipulate that rational activities involve selecting the most efficient means to

some end or other. The efficiency of the means is, on this account, at least a necessary condition of the rationality of the activity. Consequently, a rule or norm is seen as rational if it properly directs the execution of actions for the sake of meeting a need, desire, or goal. If, instead, we regard the activity in question not as a means to some end, but as as end in itself, we thereby regard it as irrational: if the activity is its own end, it thereby becomes impossible to justify it. Thus, for example, the answer to the question 'Why play chess?' is not contained in the rules of the game, either explicitly or implicitly. If we wish to answer this question, we must regard the rules of chess as a constitutive subsystem embedded in a wider system of norms, within which the rules of chess are seen as regulative. (For example, we might say that chess is a socially valuable channel for diverting aggression, a means of honing the intellect, and so forth.) And if we reject the utilitarian justification, then—so the objection concludes— we must regard the activity in question as pointless. Since, on the constitutive view, the questions "Why play?' or 'Why create?' are ruled illegitimate, these activities are held to be intrinsically meaningless.

Śaṅkara presents these objections and rejects both of them on the basis of scripture. First, he presents and rejects the empirical objection:

If in ordinary life we might possibly by close scrutiny detect some subtle motive, even for sportful action, we cannot do so with regard to the actions of the Lord, all whose wishes are fulfilled, as Scripture says.[18]

He then goes on to dispose of the conceptual objection, also on the basis of scripture:

Nor can it be said that he [the Lord] either does not act or acts like a senseless person; for Scripture affirms the fact of the creation on the

one hand, and the Lord's omniscience on the other hand.[19]

As I maintain above (in section III), Śaṅkara has recourse to arguments drawn from scripture only as a supplement to arguments from reason, that is, only on those matters that cannot, in principle, be known by the ordinary means of knowledge. In what follows I shall argue that it is no accident that Śaṅkara appeals to scripture in order to rebut the empirical and conceptual objections. In other words. Śaṅkara's reliance on scripture is necessitated by the very definition of creation and creator as bound by constitutive rules.

I first consider the empirical objection. As I maintain earlier, the question of an agent's personal ends or motives is irrelevant when it comes to systems of rules that constitute spheres of human activity. Whether an agent has his own particular psychological motivation, or his own reasons, for following a system of constitutive rules: whether the agent's motives are discernible or indiscernible—all this has no bearing on the possibility of establishing the rules. In order to give a general philosophical account of constitutive rules, there is no need to enter into men's overt or concealed psychological motives. The need to assume that in the 'game' of creation the player—God—has no motive whatsoever, does not follow from the general characterization of constitutive rules. Therefore, there is no need to supply arguments of reason to free God from being bound by some ulterior motive.

However, despite the fact that the question of the hidden motive is not philosophically important, it is *theologically* pressing and even necessary. Here we have a paradigm case of the cleavage between philosophical and theological approaches. If we face the philosopher who accepts the constitutive rule analogy with the possibility that the participants in a rule-governed game have some hidden motive for engaging in it, the philosopher need do no more than shrug his

shoulders in indifference. Furthermore, if we prove to him in any particular case the ulterior motives are inherent in the system of rules, our philosopher will simply declare the system to be a regulative one, and look for an example elsewhere. The theologian's position is entirely different. The theologian who holds to the constitutive rule theory of creation cannot remain indifferent to the possibility that God's activity in creating the universe is 'contaminated' by a (divine) extraneous motive, for this would reduce God's act of creation to a means, and not an end in itself. Of course, the theologian has nowhere else to turn for examples, because this particular example—creation—is the object of his inquiry. The philosopher inquires into the general formal characteristics of systems of constitutive rules, whereas the theologian is involved in defending a *specific* constitutive system—that of creation. The latter must, therefore, find a theological guarantee of the constitutive purity of God's activity. Scripture can provide such a theological guarantee, and it is on the basis of scripture that the conclusion that God's motiveless creation of the universe is established.

Śaṅkara also presses scripture into service in rebutting the second, conceptual objection to his *līlā* theory. It should be recalled that this objection holds that regarding creation as *līā* means making of God a "senseless person." This objection, in various forms, is popular among those who do not regard religion or a part of it as defined by constitutive rules. Phillips, for example, quotes an argument of this sort against his Witlgensteinian-inspired view of religion as a distinctive kind of language game. As Phillips puts it, "if religious beliefs are isolated, self-sufficient language-games, it becomes difficult to explain why people should cherish religious beliefs in the way they do." Religious activities, then, are either senseless or mere "hobbies or esoteric games" in which "men occupy themselves at week-ends" and which have only "little significance outside the

internal formalities of their activities."[20] In another context Flew ridicules religious activities, seen in the light of this view, as "fraudulent, or merely silly."[21] You may recall that the Jainists levelled a similar attack against Śaṅkara, claiming that the God who creates the world in *līā* is pointless, or at best akin to a foolish child.

Why play the game? How can participation in a system of rules that has no extraneous purpose be justified? Śaṅkara gives no answer, based on reason, to these questions, and instead relies on scripture to reach his conclusion that God is not a senseless person. The fact that Śaṅkara abjures rational arguments, relying instead on the authority of scripture seems significant to me. I argued earlier that it is a matter of philosophical indifference whether any constitutive system of rules actually exists in everyday life. But when it comes to meeting the conceptual objection, the situation is completely different. Here, the philosopher finds no way whatsoever of answering the objection. The demand that some further justification be given for engaging in systems of constitutive rules is, as it were, pushing at an open door. Human nature inclines us to search constantly for reasons and justifications for our beliefs, and, as Wittgenstein correctly maintains, we have great difficulty in realizing the groundlessness of our believing.[22] This usual difficulty is compounded when we are faced with a system of rules that constitutes an end in itself. By its very nature a system of constitutive rules cannot have a justification, reason, or motive external to the rules themselves. Chess, defined as a system of constitutive rules, has in these rules no justification. Similarly, God's creation of the world in *līlā* cannot be given an extrinsic justification.

Does this mean that the constitutive creator is "pointless," a "senseless person," or a "foolish child"? No philosophical answer to these questions is possible, for anyone who asks them is guilty of a kind of 'category mistake'. Anyone who insists on pressing these

questions shows thereby that he has not grasped the distinction between constitutive and regulative rules. Consequently, if the need arises to rebut the charge of God's being foolish or meaningless, this can only be done by appealing to an infallible religious source. In fact, when faced with this charge Śaṅkara turns to scripture in defense of his *līiā* theory. It is difficult not to regard Śaṅkara's proposal without a certain measure of irony: whoever does not accept the philosophical implications of defining some activity constitutively, and looks instead for an extrinsic justification, can appeal to what may be called 'justification by authority'. If a constitutive system of rules cannot justify itself in the eyes of one who is a participant in it,—then scripture will do so in its stead.

Thus scripture fulfills the role that Sankara assigns to it. Scripture does not take a stand on all those matters that can be defined, espoused, described, and explicated by reason; instead, it steps in to fill the gap left by reason's inherent limitations. And thus, while the *līlā* theory of creation is rationally based on the philosophical distinction between constitutive and regulative rules, the theory is justified, in the final analysis, by the religious authority of scripture.

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NOTES

1. For a recent philosophical discussion of theistic theories of creation see, for example, Hugo Menyell, "The Intelligibility of the Universe,' in *Reason and Religion*, ed. S. C. Brown (Ithaca, New York: Cornell University Press, 1977), pp. 23–43. On the problematic definition of God in traditional natural theologies of theistic religions see Anthony Kenny, *The God of the Philosophers* (Oxford: Oxford University Press, 1979).

2. On the status of God as creator in Indian philosophy, see, for example, A. Kunst, "Man— The Creator," *Journal of Indian Philosophy* 4 (1976): 51–68.

3. Eliot Deutsch, *Advaita Vedānta: A Philosophical Reconstruction* (Honolulu, Hawaii: East-West Center Press, 1969), p. 12.

4. George Thibaut, trans., *The Vedānta Sūtras of Bādarāyana, with the Commentary by Śaṅkara, II.1.33* (Oxford: The Clarenden Press, 1890), part I, pp. 356–357.

5. Deutsch, *Advaita Vedānta*, pp. 38–39.

6. *"Mahāpurāṇa, IV.* 25–26," in *Sources of Indian Tradition*, ed. Wm. Theodore De Bary (New York: Columbia University Press, 1958), vol. 1, p. 77.

7. Thibaut, *The Vedānta Sūtras*.

8. See, for example, Śaṅkara's commentary on the *Brahmasūtras I.1.4. II.1.2.*

9. See Śaṅkara's commentary on the *Māṇḍūkya Kārikā. II.32.*

10. See Śaṅkara's commentary on *Bṛihādaraṇyaka Upaniṣad, II.1.20.*

11. Śaṅkara's commentary on *Brahmasūtra I.1.4* in Thibaut, *The Vedānta Sūtras*, pp. 34–35. See also Śaṅkara's commentary on *Brahmasūtra I.1.2*, in which he distinguishes, in a similar way, between human action characterized by options, and the nature of a substance for which "no option is possible."

13. John R. Searle, *Speech Acts* (Cambridge: Cambridge University Press, 1969), p. 34.

14. L. Wittgenstein, *Zettel* (Oxford: Oxford University Press, 1967), par. 320. Wittgenstein's position on games is that they have no common characteristic, but are related by 'family resemblance'. (See, for example, *Philosophical Investigation*, I,65.) This notwithstanding, he regards his favorite example, that of chess, to be a game defined by its rules. (See, for example, *Wittgenstein's Lectures; Cambridge. 1932–1935*, par. 2ff.) On Wittgenstein's definition of constitutive rules and the development of this notion in his later philosophy, see, for example, M. Black, "Lebensform and Sprachspiel in Wittgenstein's Later Work," in *Wittgenstein and His Impact on Contemporary Thought*, ed. E. Leinfeller at al. (Vienna, 1978), pp. 325–331. The distinction between constitutive and regulative rules has proved fruitful in contemporary philosophy of language. Various philosophers have, nonetheless, attacked it. (See, for example, Joseph Raz, *Practical Reason and Norms* [London, 1975], p. 108ff).

15. On the concept of *māyā* in *Advaita Vedānta*, and on the distinction between Śaṅkara's metaphysics and epistemology, see Deutsch, *Advaita Vedānta*, pp. 28–34.

16. Śaṅkara's commentary on *Brahmasūtra II.1.34*, Thibaut, *The Vedānta Sūtras* part 1, pp. 358–359.

17. On the law of *karman* in India see, for example, W. D. O'Flaherty, ed., *Karma and Rebirth in Classical Indian Traditions* (Berkeley and Los Angeles, California: University of California Press, 1980), and especially Karl H. Potter, "The Karma Theory and Us Interpretation in Some Indian Philosophical Systems," pp. 241–267.

18. Śankara's commentary on *Brahmasūtra II.1.33*, Thibaut, *The Vedānta* Sūtras, part I, p. 357.

19. Ibid.

20. D. Z. Phillips, "Religious Beliefs and Language Games," in *Faith and Philosophical Inquiry* (London, 1970), p. 78.

21. A. Flew, "Theology and Falsification" in *New Essays in Philosophical Theology*, ed., A. Flew and A. MacIntyre (London, 1955), p. 108.

22. L. Wittgenstein, *On Certainty* (Oxford: Oxford University Press, 1977), par. 166.

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UNITY AND CONTRADICTION: SOME ARGUMENTS IN UTPALADEVA AND ABHINAVAGUPTA FOR THE EVIDENCE OF THE SELF AS ŚIVA

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Within the complex we call Kāśmīr Śaivism, the School of Recognition *(pratyabhijñā)* is, philosophically, the most articulate. Especially Utpaladeva (first half of the tenth century)[1] and the many-sided Abhinavagupta (around 950–1015)[2] argumentatively worked out the themes of the school, partly in defense against the Buddhism flourishing at that time in Kaśmīr.

Its doctrine of Unity, in which the unique, true, all-embracing Self *(ātman)* is identical with the God Śiva, is a characteristic of the Pratyabhijñā school. We have "forgotten" that Śiva is our true Self and the true Self of all reality. In Recognition we realize anew this true Self, to be freed from the cycle of births *(saṃsāra)*.

Here, in contrast with Advaita Vedānta, the Self, as identical with Śiva, is considered and experienced as creative, as the subject of actions. The plurality and dynamism of phenomena also have some reality, though inside Siva. The dispute with Buddhists, who do not accept an imperishable Self, gives the Ātman schools a chance to articulate the intellectual aspects of their way to meditative

liberation. In fact, the Pratyabhijñā school is, in its own way, able to take seriously the current Buddhist emphasis on plurality and the impermanence of the world of phenomena, thus enabling a modern American scholar like Harvey Paul Alper (1979) to interpret Abhinavagupta's philosophy in the line of a *process understanding*. Other scholars, however, like Bettina Bäumer (1978), place more emphasis on the nondualism in his doctrine.

The first two parts of this article interpret, respectively, the arguments that Utpaladeva (first part) and Abhinavagupta (second part) give in some of their texts for the evidence of a Self that is one and the same as *the Great Lord* Śiva. These arguments clarify the view of these authors on the connection between fundamental unity and self-contradictory plural dynamism. Against this background, the contradictory relationship between the limited individual subject and the recognition of the true Self is shown in the third part. Finally, a further interpretation is attempted and some remarks are made concerning practical meditation and the theoretical presuppositions of this way of thinking, in order to find starting points for a comparison with Western philosophy (fourth part).

The texts of Utpaladeva and Abhinavagupta discussed here are interconnected. Utpaladeva's text is found at the beginning of his *Verses on the Recognition of the Lord (Īsvara-Pratyabhijñā-Kārikāḥ—* hereafter *IPK)*. Abhinavagupta's text is a part of his commentary on it *(Īśvara-Pratyabhijñā-Vimarśinī—hereafter IPV)*. In their compactness these texts provide good access to our theme.

There is one thing that should be noted in advance. We are dealing here primarily with intellectual articulation and argument. But Recognition goes further than that. Often it is described as an astonishing *Aha*-experience. Yet intellectual articulation and

argument get an important place and are considered not merely as an exterior preparation for it.[3]

Utpaladeva: The Great Lord as the Irrefutable and Unprovable Self (*IPK* 1.2)

The role of argumentation with regard to the Self and its identity with Śiva is already visible in the second verse of the first chapter of Utpaladeva's *Verses on the Recognition of the Lord (IPK)*. When we follow the (German) translation by the famous Vienna scholar Erich Frauwallner, it reads:

Who, being not a fool, might try to deny or to prove the Actor and Knower, the own Self, given from the beginning, the highest Lord?[4]

This translation emphasizes a sort of primary evidence of the Great Lord *(Maheśvara)* Śiva in immediate connection with a primary evidence of the Self as the subject of all activity and knowledge. For the own Self is *given from the beginning*, 'always already' evident. The rhetorical question suggests that denying the Great Lord would be as foolish as denying your own Self, which is the subject of activity and knowledge. For the same reason, also proving the Great Lord as well as your own Self is foolish. A proof of the own Self is superfluous, as a proof of the Great Lord would be, because he is identical with the true self.

And yet there are—as Utpaladeva knows—people who, in their folly, deny their own Self and the Great Lord, like certain Buddhists,[5] and there are people like the Vaiśeṣikas, who are foolish enough to try to prove the ever evident Lord.[6] These types of folly are rooted in a forgetfulness that is removed by Recognition. But will the fools be convinced by Utpaladeva's verse, and will it bring them to Recognition? One could argue that the verse is simply a thesis. *Qui potest capere capiat* ("He that is able to receive it, let him receive it"— Matt. 19:12). But it is not that simple. A closer look reveals an implicit

argumentation in the verse. This argumentation shows that these types of folly are not simply a matter of forgetfulness: the position of the fool contains in itself an *inner* contradiction.

One can trace this argumentation by realizing that the Sanskrit term *ajaḍa*, translated here as "not a fool," also has another meaning, which Utpaladeva probably alludes to and which doesn't come out in Frauwallner's translation. *Ajaḍa* also means "not unintelligent," or "intelligent," "endowed with intellect." In this way justice is done to the double meaning contained in the verse: which intelligent being would be so insipid or foolish as to refute[7] or to prove his own Self? Every intelligent being has some consciousness of itself, and every act of refutation or of proving presupposes an intelligent Self which has this con-sciousness of itself. Thus a refutation of the own Self is self-contradictory. Here the content of the refutational act contradicts a presupposition of the act. Abhinavagupta confirms this interpretation by stating in his commentary[8] that if one could take this refutation of an intelligent Self seriously, one would oneself be a nonintelligent being, and thus be unable to refute anything whatsoever. On the other hand, trying to prove the own Self is also self-contradictory. In the same context, Abhinavagupta argues in relation to a proof of the Self just as he does in relation to a refutation of it. The act of proving presupposes an intelligent Self. He shows that, in case of the own Self, proving as a way of making something shine for the first time is impossible, because a Self which does not shine would not be an intelligent Self and would thus be unable to prove anything at all. Here two presuppositions of the proving act are mutually contradictory: one presupposition of the act's content and one of the act itself.

Is this argumentation sufficient to convince an opponent who denies the Self? It would only convince someone who shares with Utpaladeva and Abhinavagupta certain ideas about the conditions of

possibility of mental acts. First, mental acts are only possible if supported by a mental, intelligent subject. And secondly, such an intelligent subject is *always already* evident in itself, because otherwise it would be a nonintelligent being. A Buddhist would not agree with the first presupposition; a follower of Vaiśeṣika philosophy would not agree with the second. Utpaladeva's and Abhinavagupta's so-called transcendental argumentations deal with the irrefutability and unprovability of a subject only as understood in a specific way. Therefore, they may be considered as making explicit a certain understanding of the phenomenon of self-consciousness. They show the unavoidable evidence of a subject thus understood. But at the same time they confront us with the problem of how the earlier mentioned forms of folly are possible, as far as they are related to the own Self. We will have to come back to this point.

The reader may have noticed that the implied argumentative aspect of the verse initially deals with the Self and not so much with the Great Lord Śiva. In the verse, the Great Lord is simply, without any argumentation, identified with the own Self. The reflexive argumentation implied in the verse refers to the subject or Self as an *always already* self-evident presupposition of every mental act. Is this Self here used simply as a means to show the immediate evidence of the Great Lord? Or is it indicated in this way, though not by argument, that the Self, precisely *as a Self*, is identical with the Great Lord? This would imply that my acts are only possible as acts of the Great Lord, just as they are only possible as acts of an intelligent, self-conscious Self. It would even mean that, whenever I am active as an *actor* or a *knower* and am therein 'always already' self-conscious, I am also active as Great Lord and and have 'always already' some consciousness of the Great Lord as my true Self and as the true actor and knower. Therefore, also in the acts of refuting or proving, my 'always already' evident nature as the Great Lord would express itself.

According to Abhinavagupta's interpretation in *IPV* 1.1.2, the verse identifies the Great Lord with the true self-evident Self indeed. Later on we will see how he argues for that identification. At this moment, it is important to notice that the Great Lord is not primarily spoken of in relation to mindless objects, but to the own Self.

Utpaladeva did not prove the primordial evidence of the Self and much less the identity of the Self with the Great Lord. If possible at all, this is not possible in one small verse. But if our interpretation is correct, which seems here together with Abhinavagupta an implicit reflexive argumentation, the function of the verse can be formulated as follows. Utpaladeva did not only argue implicitly for the irrefutability and unprovability of the Self, but in arguing this way, he also intends to have *shown* what one already knows because it is the most obvious. It is so obvious that it is the most easily forgotten, because, in current consciousness, one is *eccentric* toward oneself. Therefore Utpaladeva's verse speaks about this Self and this Great Lord in the third person. Thus thought moves here between identity and opposition. To the current consciousness the object of mental acts lies in the foreground; and the acts and their subject are so *self-evident* that they are easily *forgotten*. This explains the impression that the acts and their subject have to be proved as if they were objects—and that they even could be refuted as such.

It is true that a certain opposition toward one's own acts and one's own Self might be necessary because of the eccentricity of human consciousness; but fundamentally the acts as supported by the self, in Utpaladeva's and Abhinavagupta's views, are self-evident and require only a *recognition* of their being supported by the Self, namely the Great Lord. The linguistic expressions and the quasi-objectifying opposition point toward one's *own* true Self as the actor and knower. In connection with that, the implicit argumentations are of a reflexive nature. In their reflexive pointing toward the own act

and the own subject, they are able to contribute to Recognition in the full sense of the word. For the School of Pratyabhijñā, the reflexive argumentation is not identical with full Recognition, but it might be a first step toward it. The reflexive argumentation is of a special character: in a certain way it makes explicit what one knows 'always already' about oneself, and brings that 'nearer'. What one is 'always already' *seeing*, is now also *noticed*.[9] The beginning of Recognition is in this case a way of becoming conscious of one's own Self as realizing itself in its own acts. In order to *notice* the own Self as Śiva, an explicit argumentation does not seem always necessary. Yet one could hardly deny that, implicitly, a certain interpretation of self-consciousness will always play a part. Otherwise, how could the Buddhists understand self-consciousness in a radically different way?

Abhinavagupta: Why Knower and Great Lord Are Not to be Distinguished *(IPV* 1.1.2)

In the first section, we attempted to make explicit what—if one takes Utpaladeva seriously—the argumentative implications of his rhetorical question are in verse *IPK* 1.2, and to present a clearer view of his ideas about the Self and the Great Lord. It is obvious, however, that additional clarification and argument will be needed, especially as regards the nature of the intelligent Self and its identity with the Great Lord. Therefore it is not surprising that about half of Abhinavagupta's commentary on this verse *(IPV* 1.1.2) deals with the word *who (kaḥ)*, which indicates the rhetorical question and asks for the subject.

Abhinavagupta's explanation of the word *who* in *IPV* 1.1.2 consists of two parts:

(1) an analysis of the conditions on which a knower *(pramātṛ)* can be a knower, namely that the knower should be (a) self-shining *(svaprakāśa)*, and (b) independent, free *(svatantra)*; and (2) a

discussion of the question of why such a knower is not to be distinguished from the Lord.

1. Abhinavagupta begins his commentary of the verse *IPK* 1.2 with an analysis of the conditions of possibility of subjectivity: of what nature should the knower *(pramātṛ)* be in order to be able to do what the opponent intends, that is, to prove or to refute.[10] The author presents the phenomenon of proving and shows that it would not be possible if the knower lacks certain qualifications. We quote Abhinavagupta's compact text:[11]

> Here, who *(kaḥ)* would, in regard to what kind of Lord *(īśvara)* and by what kind of means of knowledge *(pramāṇa)*, produce a proof *(siddhi)* charac-terized by the knowledge "He is," or a refutation *(niṣedha)*, characterized by the knowledge "He is not"? If [one would answer]: "A knower *(pramātṛ)*," what is that?
>
> A nonintelligent *(jaḍa)* one, like a body and so on, or someone different from that—who is to be indicated with the word *self (ātman)?* And is this one essentially self-shining *(svaprakāśa)* or not? If [the answer would be]: "A nonintelligent one, like a body and so on," which evidence *(siddhi)*[12] could he, being not evident *(siddha)* in himself, bring about in regard to something else?[13] Even a self, which is not self-shining, is nonintelligent [and] thus has equal property.
>
> If [one says]: "He is essentially self-shining,' in which kind of own form does he appear? If he appears in the form only of completely fixed consciousness, then the separation of [moments of] consciousness and the unification of the separated [moments of consciousness] by inner connection would be impossible.
>
> Therefore firstly he appears as essentially free *(svatantra)* and self-shining *(svaprakāśa)*.

The text presents three dichotomies, of which the first member is rejected each time: "nonintelligent" versus "self,"[14] "not self-shining" versus "essentially self-shining,"[15] and "appears in the form only of completely fixed consciousness" versus "appears as essentially free (and self-shining)."[16] Two arguments are given to decide between the members of the dichotomies.

(a) The first argument centers on the *knower* as *self-shining*. The two first dichotomies are treated together. In both cases the first member is rejected by the argument "... which evidence could it, being not evident in itself, bring about in regard to something else?"[17] Both a nonintelligent *(jaḍa)* knower and a knower who, though indicated as a self *(ātman)*, is not self-shining are unable to prove something, that is, to bring about evidence in regard to it, precisely because they are both not self-shining. Only a self that is self-shining, that is, evident in itself, can also make something else evident. Abhinavagupta understands the knowledge produced by a proof as a way of illuminating something that is not self-shining. And this is done by a source of light, which not only shines from itself, but also illuminates itself, knows itself. According to him, only a knower gifted with self-consciousness is able to know the things not gifted with it. The way the metaphor of light functions here indicates that the primary form of knowledge is self-knowledge. Object-knowledge, the shining of the object through borrowed light, seems to be a derivative form of knowledge.

One could consider the foregoing as a conception (not shared, for example, by Indian Buddhists) of a continuity in self-consciousness in contrast with a discontinuity in the knowledge of objects. One could even understand it as an attempt to point at the initiative of the knower in the act of knowing and at the dependence of the different objects on the active and selective attention of the knower. But this

brings us closer to a central aspect of Abhinavagupta's second argument.

One of the presuppositions of Utpaladeva's implicit argumentation in *IPK*1.2 is that an intelligent subject should be *always already* evident-in-itself. In fact, this presupposition is elucidated in Abhinavagupta's first argument by a description of the act of proving with the help of the metaphor of light.

(b) The second argument deals with the *knower* as the source of *dynamism* of consciousness. The argument refers to the third dichotomy. This dichotomy is presented in the question of whether the knower who, according to the first argument, is an essentially self-shining self "appears in the form only of completely fixed consciousness" or "as essentially independent/free."[18] Here the first member is rejected by the argument "If he [i.e., the knower as a Self] appears in the form only of completely fixed consciousness, then the separation of [moments of] consciousness and the unification of the separated [moments of consciousness] by inner connection would be impossible."[19] One may assume that the phenomena of knowledge described here are not impossible, when the knower is independent/free *(svatantra)*.[20] But which phenomena in the sphere of knowledge could be meant here?

It seems obvious to interpret the described phenomena of knowledge in the line of the first argument as referring to the procedure of proof— especially the way by which different moments of consciousness are brought to a unity through interconnection could be found in the act of proving. In this context one could refer to a later passage in *IPV* (1.7.4), where Abhinavagupta mentions five moments of consciousness, consisting of perception and nonperception, that make the inference of a causal relation possible. For that purpose the five moments of consciousness are

interconnected by the knower *(pramātṛ)* through the knower's independent freedom *(svatantratā)*.[21] In this way the unificatory side of the mentioned phenomenon of knowledge could be understood. But then it is not yet clear why Abhinavagupta speaks, in *IPV*1.1.2, of an "*inner connection*"[22] nor how we can understand what he says there about "the separation of [moments of] consciousness."

The meaning of "inner connection" can be clarified when we consider the phenomenon of memory and the way Utpaladeva (and Abhinavagupta) understand it. In *IPK* 811 and 17–31, Utpaladeva is having a dispute about memory with a Buddhist opponent.[23] He argues that in the Buddhist conception of momentariness,[24] a real act of memory would be impossible, because the moments of knowledge are locked up in themselves. The true interconnection in memory of moments of knowledge, which are separate in time, would be impossible if there would not be the One Great Lord, who, as an active subject, embraces all these moments of knowledge *(IPK* l.23) and connects them *from inside*. We cannot discuss here the way Utpaladeva and Abhinavagupta work out the role of the Great Lord in memory. This much is clear: that in the phenomenon of memory a faculty of the knower is at work, by which the knower is able to establish an inner connection between separate moments of consciousness. That the knower has therein a certain freedom *(svātantrya)* is also clear, although a *total* freedom of memory could hardly be ascribed to the usual human knower.

Here we see a problem with Abhinavagupta's second argument in *IPV* 1.1.2. Because he seems to ascend in his argumentation to a super-human degree of freedom for the knower, one should ask to what extent the phenomena he appeals to are recognizable in current experience. For the present, we can say that one cannot deny the knower a certain form of creative freedom to connect separate moments of consciousness, insofar as he is able, for example, to

direct consciously and freely his attention to certain past acts of knowing.

But how about the other aspect of the phenomenon that the second argument appeals to—"the separation of [moments of] consciousness"? Does this not presuppose a previous unity of these moments of consciousness? And is such a unity recognizable in a phenomenal setting? In fact Abhinavagupta presupposes here a previous undivided unity of the moments of consciousness. This becomes clear when he gives in the same commentary *(IPV* 1.1.2) a definition of freedom *(svātantrya):* "separating the *nonseparate* and undoing by inner connection the separation of what is separated...."[25] How Abhinavagupta conceives this can be seen in his commentary on Utpaladeva's dispute with a Buddhist on memory in *IPK* 1.8–11 and 17–31, especially in the commentary on *IPK* 1.23 *(IPV* 1.3.7). There he mentions a power of delimitation *(apohana-śakti),* which accomplishes the following: "Whatever is made to shine, is separated from consciousness, and consciousness [is separated] from it, and one consciousness [is separated] from another, and the one object of consciousness [is separated] from the other object of consciousness."[26] This quotation again exceeds the framework found until now in Abhinavagupta's second argument in *IPV* 1.1.2. A previous undividedness is presupposed here, not only of moments of consciousness, but also of the objects of consciousness among each other and even of consciousness and its objects. This is partly because, in the beginning of his commentary on *IPK* 1.23 and referring to that verse, Abhinavagupta has argued that consciousness embraces all objects of knowledge. In his commentary on *IPK* 1.2, he will make this step later on, when he comes to the explicit identification of the knower with the Great Lord (see below, [2]).

Abhinavagupta does not seem to go so far in his (second) argument for the independent freedom of the knower. The argument

just points towards a previous undifferentiated totality of consciousness, which is divided by the knower into separate moments of consciousness. Part of this is recognizable as a phenomenon: a certain freedom and originality of the knower in performing certain acts and in determining their nature, like acts of perception, of thinking, of memory, and so on. But here one can hardly speak of a complete self-determination. Nor does a previous totality of consciousness, from which the separate acts of consciousness emerge, seem to be immediately apparent. Although the second argument links up with ordinary phenomena in the field of knowledge, its conclusion about the nature of the knower seems to exceed human proportions to such an extent that one should ask if the phenomena are not seen here in a superhuman perspective or even within a framework that is already defined by the final conclusion: the identification of the knower with the Great Lord.

But there might be a more *phenomenal* access to the mentioned separation of moments of consciousness from an undifferentiated consciousness.[27] In the meditative experience, we find consciousness returning to silence and withdrawing, as it were, from its current identification with its acts. For a time, the acts could even drop off. Out of such silence we can experience how the different acts of consciousness *emerge*. The Buddhists also are acquainted with such an experience, but they do not interpret this *emerging* as performed by an embracing whole of consciousness, which could be defined as a *Self*. They see it as determined by karmic causality. In the Pratyabhijñā school, however, the idea of an embracing, and in itself undifferentiated, *space*[28] of consciousness is at work. In the meditative withdrawal of self-consciousness out of its identifications with distinct acts of consciousness, which are performed within this space, the space shows itself as self-conscious. Therefore it can be indicated by the word *Self (ātman)*. This Self can be experienced as

the embracing and even creative and free origin of the manifold acts of consciousness. Therefore these acts can be understood as the acts of the Self. They show themselves in meditative experience as the forms in which the creative energy *(śakti)*[29] of the Self expresses itself.

By this reconstruction, we can understand why Abhinavagupta asserts that the knower is self-shining *(svaprakāśa)* and independent, free *(svatantra)*, and how he understands these characteristics.

2. The full dimensions of the knower thus understood show up more clearly in the second part of Abhinavagupta's argument, where he is moving on to the identification of the knower with the Great Lord. The identification is performed in an argument that appears idealistic which we cannot go into extensively here. In short: Abhinavagupta denies the independence of the object on account of its nature of being light. If the object would not be *prakāśa-svabhāva*, if it would not have light as its nature, it could never be made shining. Finally, the truth is that light is shining *(prakāśaḥ prakāśate)*.[30] "*If finally there is nothing more than this, which difference is there between all-knowing and not-all-knowing?*[31] The object of the knower, who is demonstrated in part (1) of the argumentation, is, finally, not limited. Therefore the knower cannot be distinguished from the Great Lord, who is considered to be all-knowing. The object does not add anything to the knower. From the beginning the knower embraces all the objects in an undifferentiated form.[32] Here Abhinavagupta takes up an argument that Utpaladeva presented before him elsewhere, in *IPK* (1.33): "Just like before [i.e., before the act of knowing] the object would be without light, if its nature would not be light.' To clarify the meaning of the verse, one could translate the word *light (prakāśa)* in a more dynamic way as *shining*, in the line of Erich Frauwallner's German translation: "When shining would not belong to its nature, the object would shine as little as before."[33] One might say that

object-knowledge is a form of identity with the object. This should be understood in a perspective of nonduality, but not necessarily of an 'illusionism' in the form found in the Śaṅkara school.[34]

Although the object is not independent from the knower, we should notice that Abhinavagupta has declared the knower to be *of self-shining nature (sva-prakāśsa-svabhāva)* and the object of knowledge to have a light-nature *(prakāśa-svabhāva)* or to have a shining nature *(prakāśa-māna-svabhāva)*.[35] The object facing the knower was presupposed in the argument (1) (a) and was said to be dependent *in its shining* on the knower, who is independent in his self-shining. But here, in argument (2), it turns out to be dependent *in its own nature*, which is light or shining, on the knower, who is of a self-shining nature.

Thus, a change in perspective has taken place after argument (1) (a). The otherness of the object, which was presupposed there, is now relativized. One could understand this in the perspective of Utpaladeva's *IPK* 1.38: "Because God, who is essentially intellect, makes the things that are inside him shine outside without any material substrate, by the power of his will, just like a yogi."[36] The freedom *(svātantrya)* that makes current objects shine as though separated from the knower is not the freedom of ordinary people, but that of the yogin. And God, the Great Lord, is considered here as the yogin par excellence. Although the objects shine as though outside God, fundamentally they remain inside him. But to persons who understand themselves as limited subjects and have not yet discovered their true identity, the object is the other, just like the other subjects appear to them as others. The status of the limited subject is discussed by Abhinavagupta later on (see below).

One might wonder if argument (2) is really sufficient to understand the identity of the knower with the Great Lord. Up to now,

Abhinavagupta's argumentation in *IPV*1.1.2 only leads toward *a Lord* who is self-shining and who, 'always already' embracing *his* acts and objects, sep-arates and reconnects them. There might be more than one Lord like this. Some sort of monadological structure is not yet excluded. One might wonder if such a Lord is embracing, as a knower, just *all* the objects of his knowledge. But one might take a further step. According to verse *IPK* 1.2, the own self, who is identical with the Great Lord, is not only a knower *(jñātṛ)* but also an actor *(kartṛ)*. Abhinavagupta interprets this status of an actor especially by means of the notion of independence/ freedom *(svātantrya)*. As the Great Lord, this actor is all-doing, almighty. He embraces all acts of consciousness and objects and is able to separate them and to unify them by *inner connection*. One might claim that in a strictly monadic structure with several knowers and actors, who would all be on the level of the Great Lord, none of these actor-knowers would apply to *all* objects. But Abhinavagupta himself does not seem to bother about a possible monadological result of his argumentation. This thought does not arise, probably because for him the Great Lord is the Great One above many smaller Lords. And perhaps one might say that, from the perspective of the limited knower who does not yet notice his identity with the Great Lord, the objects are not yet experienced as dependent on his freedom or as fundamentally inside the knower. To the limited knower, they show themselves as objective reality, distinguished from the knower. Thus, in the first instance, the idea of a limitation of the number of possible objects based on the nature of the subject would not arise at all. The idealistic argument shows up only later on, demonstrating the unlimited width of the knower.

Thus it becomes clear that, by the idealistic argument (2), Abhinavagupta has arrived at a superhuman level. It is his intention to show that an attempt to prove or to refute the Great Lord is

identical with an attempt to prove or to refute oneself. There is no need to search far and wide for the Great Lord. One cannot escape from him, for he is one's own Self. And what one has to presuppose about oneself as a knower shows, by means of certain phenomena of knowledge that are understood in a specific way, that Self and Great Lord are not to be distinguished. In argument (2), however, as in (1) (a), this is performed in a questioning way. The author seems to suggest that we should first consider thoroughly his arguments, because their consequences exceed our current self-consciousness in a radical way.

This brings us to an issue that is important for the evaluation of the arguments presented. It seems as if teachers like Utpaladeva and Abhinavagupta are on the one hand convinced of the compelling character of their arguments, but on the other hand they seem so conscious of the—also existentially—far-reaching implications of their thoughts that they might themselves have been surprised at the possibility of arguing in this context at all. It is true that, before their audience, they appeal to certain phenomena in the field of knowledge, but they see these phenomena in a special light and from the perspective of special presuppositions. They are conscious that phenomenal reality, as it presents itself to the unredeemed consciousness, is full of veils and even resting on inner contradictions. As far as I can see, they integrate such contradictions in their systematic reflections on the whole of reality.[37] The contradictions are employed to show that reality is fundamentally different from how we think about it from the point of view of our still unredeemed consciousness, and even more contradictory than we are inclined to think.

The Limited Subject, Recognition, and the Paradoxes of Freedom

In the first and second sections, we presented the intellectual way in which Utpaladeva and Abhinavagupta tried to widen and intensify our view of the identity of the knower. Consequently, the status of the current individual subject becomes questionable. This status is discussed by Abhinavagupta just after his analysis of the *Who*, which we dealt with in the second section. In doing so, he emphasizes at the same time the *great* identity of the true knower-and-actor. 'Therefore, when [the Self] assumes a thing, considered as an object, as [its] body, [then, though] appearing to this extent, [finally] only the Self shines which is without division."[38] For Abhinavagupta, there is fundamentally only *one* Knower, or, as he will state later in the text: "(because it will be said that) the ... difference between the own and the other knower rests on [the power] of illusion."[39]

How is one to understand the status of the limited subject? From the foregoing, we know that, for Abhinavagupta, the object is the result of a (finally relative) separation of something essentially shining (but not self-shining), a separation performed by the Knower out of himself. We remember the image of the divine Knower as the great yogin in the second section (2), where he causes the shining objects, which are (permanently) inside him, to appear as being outside. Now we can understand Abhinavagupta's conception of the limited subject in this way: that the self-shining Knower (the Self) possesses the freedom *(svātantrya)* not only to make objects appear as being outside, but also to assume an object as his own body and to appear as embodied in it, or at least as determined in his identity by this body.[40] The one Knower appears in the limited subject, as it were, outside himself, that is, distinct from the Great Lord. In this way, one can also understand that the limited subjects appear as distinct from each other and from the distinct objects.

Based on this, we can form a clearer idea of Recognition *(pratyabhijñā)* and its counterpart. Human beings who do not yet

recognize their true identity as the one and only Knower-and-Actor, consider themselves as distinct from the Great Lord and from other knowers-and-actors. Also, the objects appear to them as being outside. They might have some notion that they are a self-shining and free interiority that embraces the objects. Yet, primarily, they are conscious of themselves as a separate, though shining, object. In Recognition, they become conscious of the fact that their true identity is that of the Great Lord, that is, that they are the one self-shining and radically free Knower-and-Actor who embraces all objects. Does the limited identity, that characterizes them as a human knower and actor disappear in this case? Precisely because they recognize their true *freedom*, the answer to this question should rather be that only then do they understand their limited identity as it really is: as the result of a self-veiling activity, performed by their own freedom as the Great Lord. They understand how they themselves as the Knower-and-Actor, veil in this self-veiling activity their self-shining and all-embracing nature and their freedom.

Thus, Recognition does not bring about an external connection between the subject as a limited knower, who appears as being outside, and the Great Lord. In Recognition, one's true identity, which fundamentally never got lost, is 'realized' through an *inner connection* of the subject that appears separately, with the Great Lord. In Recognition, the knowers and actors become conscious of the complete dimensions of their own freedom, which is able to hide itself from itself and to rediscover itself. Thus, the limited subject does not necessarily disappear,[41] but is *decentered*[42] in such a way that it proves itself to be a manifestation of the freedom of the true Self, even insofar as it is a result of its self-veiling activity.

It is true that to the limited self-consciousness the freedom of the Self cannot be veiled completely. Otherwise, even argument (2) (b) in the second section would no longer be possible. But the limited self-

consciousness has a tendency to forget even the small degree of freedom that becomes manifest in it. This tendency forms part of the self-veiling character of the freedom of the true Self. Likewise, within the limited subject, the self-shining and all-(objects-)embracing character of subjectivity is not completely absent. But the limited self-consciousness has a tendency to veil these characteristics by identifying itself with an object. Arguments (1) and (2) in the second section bring to light some of the inner contradictions of such tendencies and of the status of the limited subject. Thus they contribute to the recognizing awareness of the true Self in its full paradoxicality. If one can speak here of transcendental arguments (in a post-Kantian sense), they are presented precisely to show the full dimensions of paradoxicality in the true Self, which is identical with the Great Lord. This fits well into the image of Śiva as a God of opposites. He is the Creator, Protector, and Destroyer. As the Creator he veils himself up to a 'forgetting' self-identification with objects thought as separate. Protecting his creation, he makes his self-veiling persist, and, at the same time, offers the opportunity to Recognition. Destroying his creation, he removes self-veiling and Recognition and comes to (a non-persisting) rest in his 'always already' shining clarity.

One might wonder, if all this is not more likely a sort of evolution than a matter of self-veiling and Recognition. Instead of the paradoxes of self-veiling and Recognition, there would be a growth of consciousness from an unconscious state through outward multiplicity toward a higher unity. But this would imply that Śiva would not be conscious of himself before the process. One might perhaps make such a statement about Śiva-in-us, but certainly not about Śiva-in-himself. Even in the beginning, he is conscious of himself. Nor can it be said that, for the growth of his self-consciousness, he would need the whole process of self-veiling and Recognition. As far as I can see, Abhinavagupta's thought moves

here on two tracks: the Great Lord is 'always already' conscious of himself, and at the same time he realizes his whole process. In its sequence, the process is more suited to our consciousness as a limited subject than the radical unity of the Great Lord's self-consciousness, though this unity is apt to be thought of in a certain way and even to be argumentatively defended.

In the true Self or the Great Lord, we are dealing with a type of consciousness more subtle than we Westerners are used to. This becomes clear in some phrases that Abhinavagupta adds immediately after the passage on the limited subject, quoted above: "Also to someone in deep sleep [the Self which is without separation] shines."[43] Then he presents arguments, similar to those found in Śahkara, for example in his *US* Prose 2.92 f., pointing toward a form of consciousness without object. In the *ātman* traditions since the old Upaniṣads, this consciousness without object was considered to be higher and clearer than the current dual consciousness, which is directed toward an opposite. Here we meet a primacy of a unity, which is thought of as a unity of the subject and can therefore never be expressed adequately. The subject-object relation is considered a derivative form of this original unity of the subject, a unity that is not regarded as unconscious, but rather as *supercon-scious*. Only from the point of view of an identification with one or more objects is the original unity of the subject to be considered not conscious.

A characteristic of this unity of the subject is that, on the one hand, it is fundamentally not to be objectified. On the other hand, a logic of unity applies to it that formulates ex negativo a radical immanence and puts our consciousness on the track of this unity of the subject. Although this logic might suggest that we are dealing with the unity of an object, it implies, when applied to the subject, already on the level of thought, a radical inversion of the current tendencies of our consciousness. In the light of this logic, the limited subject and finally

the whole of reality manifest themselves in their inner-contradictory —or, from the final 'point of view' of Śiva, paradoxical—character.

If our interpretation is correct, the more general definition of the freedom of the knower-and-actor, presented by Abhinavagupta later in *IPV* 1.1.2,[44] can be elucidated as follows: "*And its [i.e., of the self] freedom is: bringing separation in the nonseparate [which at the same time remains fundamentally non-separate], and undoing by inner connection the separation of what is separated [which in a sense remains separated].*" Thus, within the framework of unity, the paradoxical character of reality is not weakened or blurred, but heightened. In this way this thought points toward the full dimensions of the never absent unity of the true Self. Thus the phenomena are not simply *saved*, but are, in their paradoxicality, presented as *the means of salvation*.

Further Interpretation, Practical and Theoretical Presuppositions, and Starting Points for a Comparison

In this section, with the help of Utpaladeva's distinction between *seeing* and *noticing*, a further interpretation is attempted (1). Then some remarks are made concerning the practical, meditative presuppositions of this way of thinking (2). Finally, some theoretical presuppositions of this thought are emphasized in order to find starting points for a more explicit comparison with Western philosophy (3).

1. In the previous sections, we have several times made use of the category of *noticing*. Utpaladeva himself works, in his third verse (*IPK* 1.3), with a distiction between *seeing (dṛś-)* and *noticing (upalakṣ-):* "But because, by force of blinding, he [i.e., the Great Lord] is *seen* indeed, but not *noticed*...."[45] The own Self, the Great Lord (*IPK* 1.2) is 'always already' *seen*—even in the blinded state, in our terminology: in the self-veiling condition, the *seeing* has not disappeared. But the

issue is whether the true Self is *noticed* or not. The real contrast lies between only-seeing and seeing-and-noticing. Seeing-and-noticing the true Self is identical with Recognition. The dynamics of freedom of the true Self are the dynamics of noticing. The inner evidence of the Self never disappears. It is always *seen*. But, in its freedom, the Self limits its attention or widens it.

In the following, in order to provide a better understanding, we will make a short attempt to clarify the problems inherent in the philosophy of Recognition by means of the categories of *seeing* and *noticing*. As one may have observed already in the area of object-knowledge, it is possible to direct one's attention, even in such a way that it is almost *absorbed* by a particular object: only the object is noticed. It is also possible to perceive the same object as inserted in its environment without the object losing its particularity. The environment was 'always already' present, and, properly speaking, one knows *(sees)* it all the time. But it is not *noticed* all the time. Now we should consider that the term *noticing* does not always have the same meaning. When we notice the object in its environment, the environment is not noticed in the same way as the object. Widening the area of attention is not simply a matter of quantity. The environment is noticed as a periphery. At the same time, the noticing itself of the object has received more *space*. When we notice only the object, this space seems to be enclosed within the limits of the object. Thus it is also a matter of the quality of the attention. The same is indicated by the expression *absorption by the object* In this case, the knower identifies with the object. When the knower notices the object-in-its-environment it is no longer possible for the knower to identify purely with the object, but the knower might identify with the environment in which the object appears.

We find a similar case when attention is extended toward the noticing consciousness. The object-in-its-environment does not

disappear, and the noticing activity itself is not noticed in the same way as the pure object or as the object-in-its-environment. It is possible to study the noticing activity or to reflect upon it in a quasi-objectifying way. This is what we are trying to do. But in doing so we point toward a phenomenon that one cannot objectify adequately: in noticing the object or the object-in-its-environment, one may *forget* one's own attention, or one may be conscious of one's own act of noticing (and even of its self-determining character) in a 'noticing' way. This kind of (not explicitly reflexive) self-consciousness does not enclose the attention within itself, but is conscious of it precisely in its openness to the 'world'. Also, the insertion of the actual act of attention in the 'environment' of other, not actual, acts may be noticed. Thus, the *freedom* of the actual noticing act may be noticed, too. The more the noticing activity awakes for its own more subjective aspects, the more it manifests itself as being in an immediate relation to itself. It manifests itself as being open to its own acts and objects (and, in this respect, as *embracing* them), and as *free*, that is, within this lasting openness, as able to focus itself upon a partic-ular act and a particular object up to the point of letting itself be absorbed by only one object.[46]

In this way, one can understand the deepening of attention: the more *self-related* the attention is, the more it manifests itself as open, embracing, and free. This may be confirmed by experience in the practice of meditative attention. With this widened use of the category of *noticing*, we may still not have arrived at the Self, nor at the Great Lord; yet a direction is shown in which, supported by Utpaladeva's own terminology, one may develop a more consciousness-oriented insight into the paradoxical relation of unity and multiplicity as it becomes manifest in Abhinavagupta's notion of the freedom of the Self.[47]

It is important, finally, that whatever is noticed, is always marked by a self-identification with it. Whatever manifests itself, even in the most veiled forms, it is always the Self. And within the process of increasing attention, one always notices the noticed *as if* it were a real self. The more the way in which the noticed represents the Self is reduced and veiled, the more inadequately the Self manifests itself. The problem is precisely that one does not notice the inadequacy, and considers primarily and mostly the inadequate form *as one's own true self*.[48] The closer our attention approaches the true Self, the less inadequately our identity manifests itself, and the clearer we notice the true character of our less adequate self-identifications. Only in Recognition are the true dimensions of these, in a way, false and inadequately limited self-identifications noticed.

2. Against this background, we may, at least to some extent, understand the 'practical', spiritual dimensions of Recognition. In noticing the blinding as a self-blinding, one also 'notices' the true Self, especially in its freedom, that is, as blinding itself and as vainly searching for its own fullness in its limited manifestations. All practice of meditation aims at 'noticing' the *always already* 'seen' true Self and, at the same time, at finding final clarity concerning the contradictions that are constitutive for the limited forms of consciousness. In this way one may also understand that Recognition, as the really adequate 'noticing' of the Self, does not necessarily take its leave of the world, but is now finally able to *enter* into it *as it is:* the result of a contradictory self-veiling of the Great Lord. A characteristic of the blindness, in regard to the Self, is that it does not take the world as it is.

3. In attempting this interpretation of Utpaladeva's and Abhinavagupta's arguments, by intellectual reconstruction and recurrence to phenomena in the sphere of consciousness, we have engaged in a more or less implicit kind of comparative philosophy. It

is within the hermeneutic strategies of this and cognate kinds that the philosophical comparison begins.[49] With some observations on the characteristic presuppositions of their thought, we arrive at our last issue, which may serve as a starting point for a further, more explicit comparison with forms of Western philosophy.

In Utpaladeva and Abhinavagupta we find a *quite particular conception of unity*. This conception forms the framework within which they interpret the phenomena of consciousness. Unity, in their view, is primarily the *unity of a subject*. And the true—Great—Subject embraces everything. This embracing character is not first realized in the process of freedom. It is 'always already' present and also *seen*. But it is only gradually *noticed* by the limited subject. Thus, the freedom of the (Great) Subject is not a creative one in the Christian or in the modern sense. It is an *emanative* freedom in that only a limited form of the same Subject, and not something really new, is manifested by it. It is the freedom of self-veiling and self-recognition. Every kind of *outside* finally turns out to be *inside*.

Might one say that we find here a kind of 'totalitarian' thought, heightened to an absolute level where no room is left for the other (Other)? Is this a philosophy of the subject that, in continuity with tendencies of the egocentric and self-enclosing subject, leaves no room for the fundamentally ethical appeal of the Other (E. Levinas)? One must admit that this is not a philosophy of intersubjectivity in the strict sense. And the other as other is considered here only as a limitation of the identity of the Self. Nevertheless, a conception of subjectivity is offered in which the not-open, self-enclosing subject, which tries to absorb everything else, is considered as a form in which subjectivity manifests itself only in a veiled and inadequate way, and does not even notice its inadequacy. Opposite to this wrongly self-centering subject stands the true Self as the Other. The self-centering limited subject is *decentered* here, albeit with

arguments that, for a contemporary Western understanding, seem to refer to the sphere of self-centering. But the fact that Abhinavagupta's 'transcendental' arguments for the radical immanence of the subject (second section, [1] [a] and [2]) lead to the level of the Great Lord may already warn us against the impression that they simply aim at the self-foundation of the limited subject. One might wonder if the idea of an inner evidence of the subject does not always touch a dimension that transcends the limited subjectivity, as one may conclude, for example, from the role of the proof of the existence of God in Descartes' third Meditation, where finally God's veracity must guarantee the truth of the *cogito*'s content.[50] Be this as it may, it is clear that, for Abhinavagupta, the limited human subjectivity is characterized by an inner contradiction that is only partly conscious. Only in a derivative sense may we speak here of human autonomy. The small amount of human autonomy puts us on the track of the true divine autonomy of the Great Lord. This autonomy is not a fixed, self-enclosing one, which protects itself against everything. In a certain respect one may call it, applying a Christian terminology, a *kenotic* one.[51] In opposition to the distorted human autonomy, it manifests itself as infinitely more open and perhaps even vulnerable. It does not force itself upon us. A transcendental argument for it may be rejected on the basis of different presuppositions. It may manifest itself only in the miracle of the *Aha*-experience of Recognition.

This leads us to remarks on the *idea of God*. Is this God, who is the true Self, really so open and vulnerable? Abhinavagupta thinks of the autonomy of the Great Self as freely negating itself. Does this not mean that it is only open to its own *self-performed* negation? And is this negation, especially when in the form of injustice, suffering, or evil, not made harmless within the framework of such an idea of a free and all-embracing Self? These kinds of questions are not easily

answered. They touch upon the characteristics of Abhinavagupta's idea of the absolute. In itself every act of resistance against injustice or evil could also be considered as belonging to the Great Lord. But the Great Lord, our true Self, is finally elevated above all the contrasts we experience, and at the same time, he manifests and hides himself in all phenomena. There is trickery in his play. One might also say that Śiva, our true Self, is at the same time horrible and merciful. He is not an ethical God, unless he is seen as inverting every fixation and liberating us from it. As regards him, the problem of the theodicea, in its classical form, is not applicable. But in his freedom, he is at the same time, as his name states, śiva, the merciful. He is transcendent, because no ambiguity is strange to him. Finally, he brings to rest all oppositions, precisely because he realizes his third function. For Siva is not only the Creator and Protector, but also the Destroyer. But he will disturb anew the rest which he realized as the Destroyer. Yet this rest always was, is, and will be forever. This is the way in which the Sivaitic Indians express the *tremendum* of divine presence. It is connected with the way they understand their meditative experiences of silence. On this point there is still much research and comparative study to be done.[52]

In conclusion: as we saw in Utpaladeva's *IPK* 1.2 (above, first section), he presupposes that intelligent activities are only possible if they are supported by an intelligent subject that is 'always already' evident in itself. The full dimensions of this self-evident and all-embracing intelligent subjectivity became clearer in Abhinavagupta's commentary *IPV* 1.1.2 (above, second section). In both cases, however, one should guard against a too massive interpretation. For Utpaladeva, the inner evidence of the intelligent subject is not *massive*, not inevitable to consciousness. It is vulnerable; it may be forgotten and recognized. Although the subject, in its inner evidence, is 'always already' *seen* as supporting the knowledge of the object, it

is generally *not noticed* The subtlety of its evidence makes it possible for people to have the foolish idea that they can refute it or even prove it. How strict are the 'transcendental' argumentations here? As argumentations, they are, as we have seen, not without presuppositions. The Buddhists do not have to accept them. But if one accepts them, they can only *point* toward the self-evidence, the 'always already' shining inner evidence of the Great Self. It is not for nothing that the breakthrough toward a real noticing of this self-evident Self is pictured as a wonderful *Aha*-experience. And if one would think it possible to realize Recognition simply within the framework of an argumentation, one would, already at the level of the arguments for the freedom of the self, be confronted with the paradoxical character of the whole enterprise and thus with the limits of one's thought. One may have known already from the end of Abhinavagupta's commentary on *IPK* 1.1 that the texts do not deal with the self in the third person, but with myself in the *first* person.[53]

NOTES

An earlier version of this article was published in German: "Einheit und Widerspruch: Über einige Evidenzargumente in der Schule der Wiedererkennung des Kaśmirischen Śivaismus," in Joachim Schickel, Hans Bakker, and Bruno Nagel, *Indische Philosophie und Europäische Rezeption*, Dialectica Minora 5 (Cologne, 1992), pp. 57–83.

Abbreviations are used in the text and in the Notes below as follows:

IPK   *Īśvara-Pratyabhijñā-Kārikāḥ* (Utpaladeva). 1921. Edited by M. S. Kaul. Kashmir Series of Texts and Studies, 34. Srinagar.

IPV   *Īśvara-Pratyabhijñā-Vimarśsinī*(Abhinavagupta). 1918, 1921. Edited by M. R. Shāstrī. 2 vols. Kashmir Series of Texts and Studies, 22 and 33. Srinagar.

US Upadeśa-Sāhasrī (Śaṅkara). 1973. Edited by S. Mayeda. Tokyo.

1 – According to Pandey 1963, p. 162.

2 – Ibid., p. 9.

3 – See, e.g., *IPK* 4.17, where the comparison is made with a woman in love, who has been longing for her beloved one for a long time, and who only recognizes him after having been *told that it is he*.

4 – *IPK* 1.2, ed. Kaul, pp. 1–2: *kartari jñātari ādisiddhe maheśvare ajaḍātmā niṣedhaṃ vā siddhiṃ vā vidadhīita kaḥ*; see Frauwaliner 1962, p. 33.

5 – See *IPK* 1.6–16; ed. Kaul, pp. 3–7; translation Frauwallner 1962, pp. 33–34.

6 – See Abhinavagupta *IPV*1.1.2ff; ed. Shāstrī, vol. 1, p. 34/5 ff.

7 – This translation of *niṣedha—refuting*—seems to me more adequate than Frauwallner's translation: *denying* (G *leugnen)*.

8 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 34/13 ff.

9 – See *IPK* 1.3; below, fourth section, (1).

10 – In his folly, the opponent relates these activities to a special 'object': 'the own Self,... the highest Lord'. But for the time being, this does not yet play a part in Abhinavagupta's argumentation.

11 – *IPV* 1.1, 2; ed. Shāstrī, vol. 1, p. 29/7–30/12: *iha ka īśvare kīdṛśe kīdṛena pramāṇena astīti jñānalakṣaṇaṃ siddhivṃ, nāstīti jñānalakṣaṇaṃ vā niṣedhaṃ kuryāt? pramātā iti cet, sa eva kaḥ? dehādir jaḍaḥ uta tadanyo vā kaīcit ātmādiīabdaḥ vācyaḥ? So'pi svaprakāīasvabhāvo vā na vā? dehādir jaḍaḥ iti cet, sa eva svātmani asiddhaḍ paratra kāṃ siddhiṃ kuryāt? ātmāpi asvaprakāīo jaḍa eva tattulyayogakīemaḍ. svaprakāīasvabhāvaḥ iti cet, kīdṛīena svena rūpeṇa ābhāti? yadi pariniṣṭhitasaṃvinmātrarūpeṇa, tadā saṃvidāṃ bhedanaṃ, bheditānāṃ ca antaranusaṃdhvānena abhedanaṃ na syāt; tena svatantrasvaprakāīātmatayā tāvat ca bhāsate ...*

12 The term *siddhi*, which was translated at the beginning of this quotation (and in Utpaladeva's verse) as 'proof, could here be translated in the same way, but then its meaning does not fit well with the perfect participle *siddha*, which, in this context, is better translated as 'evident' than as 'proven'. This evidence could be the result of a proof, but, in the case of being '*siddha*-in-himself', this does not fit. Even at the beginning of the quotation, the meaning of the words *siddhi* and *niṣedha* lays more emphasis on the result of the activity than on the activity itself, which is indicated by the word *pramāṇa* (means of knowledge).

13 – The locative *paratra* might also be understood as indicating the person to whom something is (made) evident. I did not choose such a translation, but I have taken the locative in the meaning of 'in regard to', indicating the object that is made evident, as in

the beginning of this quotation with the locative in *kīdṛśe īśvare:* 'in regard to what kind of Lord'. Pandey (1954, p. 10) translates it the same way.

14 – *jaḍa* vs. *ātman*.

15 – *asvaprakāśa* vs. *svaprakāśasvabhāva*.

16 – *pariniṣṭhita-saṃvin-mātra-rūpeṇa (ābhāti)* vs. *svatantra-(svaprakāia-) ātmatayā bhāsate*.

17 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 30/5–6: *sa eva svātmani asiddhaḍ paratra kāṃ siddhiṃ kuryāt?*

18 – See note 16.

19 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 30/9–11: *(yadi parinisṭḍitasaṃvinmātrarūpeṇa,) tadā saṃvidāṃ bhedanaṃ, bheditānāṃ ca antaranusaṃdhānena abhedanaṃ na syāt*.

20 – Emphasizing the word 'only' in the first member, I might say 'when the knower is *also* free/independent'. Thus the first member would be rejected only in its exclusivity. See Nagel 1986, pp. 85 ff.

21 – Probably this doctrine has its origin in the Dharmakīrti school; cp. Vetter 1964, p. 31 n. 32, and Steinkellner 1967, p. 97 n. 49.

22 – *IPV* 1.1.2ff; ed. Shāstrī, vol. 1, p. 30/10–11 : *bheditānāṃ (samvidāṃ) ca antaranusaṃdhānena abhedanaṃ*.

23 – See Frauwallner 1962, pp. 25–27, 33–36.

24 – See Frauwallner 1969, pp. 101–104 (The Doctrine of Momentariness in the Ontology of Sautrāntika), and Vetter 1964, pp. 13–18 (this aspect of the ontology of Sautrāntika is borrowed by Dharmakīrti). In this respect, the Buddhist introduced by Utpaladeva has the traits of a follower of the Dharmakīrti school.

25 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 31/13–14: *svātantryaṃ ca asya [ātmano] 'bhede bhedanam bhedite ca antaranusaṃdhānena abhedanaṃ*.

26 – *IPV* 1.3.7; ed. Shāstrī, vol. 1, p. 110/1–3: *yat kila tat ābhāsyate tat saṃvido vicchidyate, saṃvic ca tataḍ, saṃvic ca samvidantarāt, saṃvedyaṃ ca saṃvedyāntarāt*.

27 – See Nagel 1986, pp. 107 ff.

28 – See Alper 1979: already in its subtitle, 'The Spaciousness of an Artful Yogi."

29 – The notion of *śakti* (energy, power) is related to the female, manifesting the energy of the Lord Śiva. See Larson 1974 (also bibliographically useful). It is also connected with the degrees of the word *(vāc)*. See Padoux 1990 and also note 47 below.

30 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 31/3.

31 – Ibid., 31/3–4: *ity etāvanmātraparamārthatve kaḍ sarvajñāsarvajnavibhāgaḍ?*

32 – What Abhinavagupta says here can be interpreted with the help of the interpretation of *IPV* 1.3.7 (commentary on *IPK* 1.23): also the separation of consciousness and object rests on a previous non-separateness of both. See note 26.

33 – Frauwallner 1962, p. 36: "Wenn das Erhellen nicht zu seinem Wesen gehörte, würde (jeder) Gegenstand so wie früher unerhellt bleiben"; *IPK* 1.33ab; ed. Kaul, p. 14: *prāg ivārtho 'prakāśaḍ syāt prakāśātmatayā vinā*.

34 – See Vetter 1979, pp. 40 ff.

35 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 30/20–31/1.

36 – *IPK* 1.38; ed. Kaul, p. 16: *cidātmaiva hi devo 'antaḥsthitaṃ icchāvaśād bahiḥ yogīva nirupādānaṃ arthajātaṃ prakāśayet*. See Frauwallner 1962, p. 37.

37 – E.g., in *IPV* 1.1.3; see Nagel 1986, chap. 4, esp. pp. 162–173; also Nagel 1993, p. 173.

38 – *IPV* 1.1.2; ed. Shāstrī, vol. 1, p. 31/6–8: *tasmāt viṣayābhimataṃ vastu śarīratayā gṛhītvā tāvat nirbhââmāna ātmaiva prakāśate vicchedaśūnyaḥ*.

39 – Shāstrī, vol. 1 p. 31/11–12: *svaparapramātṛvibhāgasya …. māyīyatvena (vakṣsyamānatvāt)*. The text refers to *IPV* 1.1.4, 5 (vol 1, pp. 42–43, 48), where the problem is elaborated. The direct context of the quotation is the problem of the self-shiningness of the knower or the Self during deep sleep. Abhinavagupta solves this problem partly like Śaṅkara in *US Prose* 2.92–93 (ed. Mayeda [Tokyo, 1973], p. 211). See the translations of Mayeda 1979, p. 243, and Hacker 1949, pp. 43–44; also Vetter 1979, pp. 85–86.

40 – Further research has to be done on Abhinavagupta's understanding of the embodiment of the Self (see also Nagel 1986, pp. 176 ff.). From the following one may conclude that, for him, embodiment implies a (relative) inner contradiction. This contradiction is comparable to Śaṅkara's idea of *avidyā* as *adhyāsa* or *adhyāropaṇa*, in his introduction to the Brahmasūtrabhāṣya and in *US* Prose 2: the current individual self-consciousness is constituted by the 'impossible' contradictory identification of subject and object, Self and not-Self, and of their characteristics.

41 – As in Śaṅkara. See, e.g., *US* Prose 2.109. See also Hacker 1949, p. 49.

42 – I.e., withdrawn from its false (in fact eccentric) center.

43 – *IPV* 1.1.2; ed. Shāstrā, vol. 1, p. 31/8. With regard to Śaṅkara, see the passages referred to above, in note 39.

44 – See above, note 25. A further argument for this interpretation may be found in the paradoxical character of the seven 'ways' of self-manifestation of the Great Lord, as described in *IPV* 1.1.3. See Nagel 1986, pp. 153–173.

45 – *IPK* 1.3; ed. Kaul, p. 2: *Kiṃtu mohavaśād asmin dṛṣṭe'py anupalakṣite…*. In the first section, we made use of the term *noticing* in our interpretation of *IPK* 1.2.

46 – The general framework of this interpretation—without the technical issues specific for the Pratyabhijñā school—proves also useful in the interpretation of much older ātman texts, e.g., the dialogue of Yājñavalkya and Maitreyī in Bṛhad-Āraṇyaka Upaniṣad 2.4. See Nagel 1983.

Against this background a new and clearer understanding may be developed of
47 – Utpaladeva's and Abhinavagupta's distinction between *prakāśa* (light, shining) and *vimarśa*, translated by Alper (1979, p. 350) as "personal judgement" and by Frauwallner (1962, p. 27) as "ein von Denksprechen begleitetes Urteil" (a judgement accompanied by inner thought-talk). In my opinion, *vimarśa* is to be connected with *levels* of *noticing*. On a certain level, *vimarśa* may have the form of a judgment. This is the case with a spoken judgment, and also with the use of arguments. Even on the level of the judgment, which implies a kind of objectifying, some noticing of the true Self takes place. On this level, the arguments for the evidence of the Self have a special status, because they point toward a higher level of noticing. This may be connected with the levels of the Word *(vāc)*. In this way the highest level of noticing— Recognition—would be related to the highest level of the Word. See Nagel 1986, pp. 199 ff.; Padoux 1990, pp. 166 ff.; Bäurner 1978; Larson 1974.

48 – See above, the beginning of the third section, and note 40. See also Nagel 1993, p. 173.

49 – In my opinion, even the more objectifying use of comparative models in philosophy—in which, in our countries, Professor Ulrich Libbrecht has become an authority—seems to be rooted in a situation which must be understood from a hermeneutic point of view.

50 – See, recently, Ricoeur 1990, pp. 18 ff., in connection with M. Gueroult's criticism.

51 – See St. Paul, in Phil. 2:7. Also with St. Paul, after the emptying *(kenosis)*, the exaltation follows. In the case of Śiva, after the exaltation he will empty himself again. At the same time he is always as he is.

52 – See, e.g., Daniélou 1982.

53 – *IPV* 1.1.1; ed. Shāstrī, vol. 1, p. 27/2 f.; see Bäumer 1978, p. 65.

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THE WORLD AS GOD'S 'BODY': IN PURSUIT OF DIALOGUE WITH RĀMĀNUJA

In this essay I propose to offer some observations in due course on how Christian thought and practice in general (though some reference will be made to the Indian context) might profit from a central theme in the theology of Rāmānuja, a Tamil Vaiṣṇava Brahmin whose traditional date straddles the eleventh and twelfth centuries of the Christian era.[1] The central theme I have in mind is expressed in Rāmānuja's view that the 'world' is the 'body' of Brahman or God.[2] We shall go on to explain what this means, but let me state first that my overall aim is to further inter-religious understanding, especially between Christian and Hindu points of view. In professing a concern for inter-religious dialogue I know that I reflect a longstanding interest of Professor H. D. Lewis. I shall seek to show that the Christian religion can profit both from the content and the method of Rāmānuja's body-of-God theology. To this end this essay is divided into two sections. Section 1 is the longer: it contains an analysis of what Rāmānuja did (and did not) mean by his body-of-God theme[3] – doubtless unfamiliar ground for most of the readers of this essay – and serves as a propaedeutic for what follows in section 2. In section 2 I shall attempt to 'extrapolate' Rāmānuja's thinking into a Christian context, with dialogue in mind. Section 2 cannot be appreciated for the promise I hope it holds out without the (sometimes involved) detail of the first section.

I

We start with the observation that Rāmānuja's theology affirms an abiding monotheism-cum-ontological-dualism.[4] His God has an essential nature or proper form ('svarūpa')[5] defined by the five characteristics of being (satya), knowledge (jñāna), bliss (ānanda), infinitude (anantatva) and purity (amalatva), and characterized also by a host of non-defining qualities which for the most part[1] make up the catalogue the monotheist ascribes to his God in general. The Lord produces and sustains the real and lasting finite order – for all practical purposes this world comprising conscious and non-conscious being (cidacidvastu) – by his omniscience and omnipotence. There is much more we can say in this regard[2] but this is not to our purpose here. We are concerned with the fact that Rāmānuja goes on to maintain that the world is Brahman's (the Lord's) body, and that this assertion dominates the way he theologises. Clearly a great deal depends on what Rāmānuja means by 'body'. Let us deal with this first and then comment on what is meant by 'world'.

To begin with what are the main sources of our theologian's body-of-God language? They seem to be twofold: scriptural and sectarian. As to the former, Rāmānuja quotes both from the canonical scriptures (the śruti) and those texts (the smṛti) putatively backing up the śruti, in support of his view, but undoubtedly the most important for his purposes were śruti texts, especially from the seventh section of the Bṛhadāraṇyaka Upaniṣad's third chapter. There it is said, for example: 'He who dwells in all beings, who is within all beings, whom all beings do not know, of whom all beings are the body, who controls all beings from within, he is your Self, the inner Controller, the immortal One...'.[3] Though such scriptural backing was more important than sectarian support for Rāmānuja's aim of making as universally respectable a case as possible for his position in the

orthodox Hindu religious world of his time, it seems clear that hints for a body-of-God theology were present in the thought at least of his ācārya (rather than guru) predecessor, Yāmuna.[4] In any case, Rāmānuja was not theologising in a vacuum. He was certainly not keen to give the impression that he was 'doing theology in an original way', without obvious support from both scripture and an established interpretative tradition of the sacred texts, for he functioned in an orthodox thought-world which demanded the credentials of a socially respectable teaching pedigree in the study of the scriptures before it would even listen to what he had to say.

It is mainly in his great work the Śrī Bhāṣya, his chief commentary on the Brahma Sūtras, that Rāmānuja is at pains to clarify what he means by 'body' in our context.[1] The discussion is conducted in the traditional Hindu way of presenting one's case through a process of argument and counter-argument, objection and answer, till what one regards is the right conclusion (the siddhānta) is finally reached, secure from further challenge, in the eyes of its presenter at least, by virtue of its successful dialectic passage. Now surely, argues the opponent, the world cannot be the body of Brahman, for is not a body 'the locus of the senses which are the means for experiencing the pleasure and pain that are the fruit of (one's) karma, (a locus) which supports and yet depends upon the five modifications of breath and which is a special aggregate of the elements earth, etc.'?[2] Surely the supreme being, perfect, and transcending as it does the world of materiality, karma and rebirth, cannot have such a body? In answer, Rāmānuja rejects this understanding of 'body' as too narrow. We must operate with a meaning of 'body', he contends, that takes account of the range of literal uses of the term in sacred and ordinary (Hindu) parlance. Thus the opponent's definition of 'body' does not take account of the avatāric bodies of the Lord which are not made of ordinary elemental matter; nor does it apply to the

bodies of plants which lack the fivefold breath, nor to the bodies of wood and stone of Ahalyā and other (folkloric) figures, which were not the abode of sense-organs. In fact, says Rāmānuja, giving his own definition of 'body', 'Any substance of a conscious being which can entirely be controlled and supported by that being for the latter's own purposes, and whose proper form is solely to be the accessory of that being, is the "body" of that being'.[3]

The following points are worth noting. First, Rāmānuja claims to have exposed the basic *literal* sense of 'body', one shorn of any *accidental* surplus of meaning (in contrast to what the opponent has done in *his* definition). This enables him to affirm as we shall see that created being is literally – not metaphorically – Brahman's body, yet not in any obvious sense.[4] Second, 'body' in the sense deseribed can be predicated of a substance related only to a conscious entity, that is, in fact to the ātman or spiritual principle, which in the case of a spirit-matter composite is the immortal centre or 'self' of that composite.[1] In other words, the 'ensouler-body' relation in our specialized context is an asymmetrical one in which the self or ātman is the dominant term. Finally, the concept of 'body' so defined prescinds from whether its referent is spiritual or material. *Any* substance, spiritual or material, which is related to a self in the way described is that self's 'body'. This makes it possible not only for material substances but also for spiritual substances, i.e. finite ātmans, to be the 'body' of the infinite, supreme Self or Ātman.

At this juncture we can comment on the meaning of 'world' in the statement: 'the world is Brahman's body'. Rāmānuja has not addressed this question explicitly, but it is not difficult to understand what he means by the term. In the first place, 'world' must not be understood in the sense of some sort of 'system' (open or closed). The sense of an organized inter-relation of discrete parts central to the word 'system' is absent from Rāmānuja's usage of 'world' that we

are considering. He is using 'world' simply in the sense of 'aggregate of finite conscious and non-conscious beings (cidacidvastujāta), especially of such beings in their empirically manifest (prapañca) form'. Thus 'world (jagat)' here becomes no more than a collective term, a convenient short-hand, for finite individual substantival (conscious and non-conscious) entities or aggregates of such entities, and Rāmānuja is as prone (if not more so) to refer to such individuals as the 'body' of Brahman as he is to the whole collection. This cuts at the root any objection made against the body-of-God idea analogous to those made by A. Farrer, for example, against the anima-mundi doctrine of the ancient western world, a doctrine Farrer assumes is based on regarding the world as some kind of organic svstem.[2] This also makes it quite inappropriate to refer, as some modern commentators have done, to the relationship between Brahman and the world as his 'body', as organic. There is nothing 'organic' in the usual sense about this relationship.

Returning now to the basic sense of 'body' expressed by Rāmānuja earlier, this is how he describes the general relationship between the ātman as 'ensouler' and its 'body':

This is the relation between the self (ātman) and its body (in the sense we are considering): the relation between support and thing-supported such that the latter is incapable of being realized apart from the former, that between controller and thing-controlled, and that between principal and its accessory. The ātman – from 'āpnoti' (namely 'it obtains') – is that which in every respect is the support, controller and principal of what is the thing-supported, controlled, and the accessory, viz. the 'body' or form which exists as a mode (of the mode-possessor, i.e. the ātman), incapable of being realized apart (from the latter). Now this is the relation between the (finite) individual self and its own (material) body. Thus because the

supreme Self is embodied (in the way described) by everything, it is expressed by every (type-naming) word.[1]

As is indicated by this passage towards the end, Rāmānuja maintains that the 'body-ensouler' relationship is instantiated microcosmically, as it were, between the finite ātman and its material body[2] and obtains macrocosmically between Brahman and the world/its individual entities. Though we shall be chiefly concerned with the latter application of this relationship in this essay, we shall see that the former, i.e. the microcosmic application has an important part to play in our appreciation of Rāmānuja's theological method.

Before we go on to examine this complex self-body model,[3] in terms of whose constituent relationships macrocosmically and microcosmically applied, Rāmānuja, in fact, understands the interplay between the One and the many, let me state that in the following discussion, unless their meaning is clear, I shall refer to the ensouling-self of the self-body model as the $self_m$, and to its 'body' as the $body_m$. Now as Rāmānuja describes it, the self-body model contains three constituent sub-models each with its own central relationship. To consider each briefly in turn.

(1) The support/thing-supported (ādhāra/ādheya) relationship

The operative expression explaining this relationship, as the quotation above informs us, is 'incapable of being realized apart from' (in Sanskrit, pṛthakṣiddhy-anarha) or PSA for short. In other words, in the context of the self-body model, the thing-supported (ādheya) is related to its support (ādhāra) in such a way that the former is 'incapable of being realized apart from' the latter. What exactly does this mean? To explain we must have recourse to two

related concepts Rāmānuja makes use of, namely those of the 'mode (prakāra)' and of its correlate the 'mode-possessor (prakārin)'. The reference above also informs us that to be a body$_m$ is to be a 'mode', and then goes on to affirm that the relationship between mode and mode-possessor is of the PSA kind. Thus we can get a good idea of what the PSA relation is between support and thing-supported on the basis of what is meant by it between the mode and the mode-possessor. In fact Rāmānuja offers an explanation of the PSA expression in terms of the relation between the latter pair. Now in this context, there are two nuances to Rāmānuja's understanding of the PSA expression. One is ontological (*a*), the other (*b*) is epistemological.

(*a*) Consider the following quotation:

In the case of things like generic characteristics, because they are the mode of an entity in that they express the generic configuration (of that entity) – here the mode (viz. the generic characteristic) and~the mode-possessor (viz. the individual entity) are different kinds of being – the mode is incapable of being realized apart from (the mode-possessor) and indeed of being rendered intelligible apart from (the latter).[1]

Rāmānuja is here considering the modal dependence of such things as generic or class characteristics on the individual entities instantiating them. Ontologically speaking, for him a class characteristic (jāti, e.g. 'cowness') cannot exist *in abstracto* as it were; it is realized in and through the individual (cows). The same point can be made for properties (guṇas) such as, 'white', 'brown' and so on. Modes such as properties and class characteristics essentially have a borrowed being: they exist as the things they are by inhering in their ontological supports.[2] That is, in being they 'are incapable of being realised apart from' their ontological supports. This sort of

ontological dependence obtains between the support and the thing-supported in the context of the self-body model.

Where the support is the finite ātman and the thing-supported its material body, the ontological (modal) dependence of latter on former is not absolute. No doubt the body needs its ātman to subsist as an organic entity, and, as Rāmānuja points out, at death, that is, upon being separated from the ātman, it disintegrates and ceases to be a body. Nevertheless the finite ātman is not the bestower of being to its body in the absolute sense: it has no power to originate its body existentially or to stave off biological death permanently. In the case of Brahman as ontological support, however, and the world (or individual substantival entities considered separately) as thing-supported, Brahman is, absolutely speaking, the bestower and mainstay of being. Finite being is his totally dependent mode. Well then, one may ask, if finite being has a totally dependent, that is, derived being, does not the spectre of the world's being, in the final analysis, an illusion arise? After all, that is what the Advaitins maintained. Rāmānuja emphatically rejects this point of view: the world does have a substantival reality, he affirms, a reality which cannot be sublated in terms of a 'higher' experience. How Rāmānuja tackles the demand to reconcile the total derivativeness of the world's being with its substantival reality is a question we will take up when considering his method.

(*b*) Besides making an ontological point, the quotation on page 150 makes also an epistemological point. This is to be found in the last phrase of the quotation. There it is said that the mode depends on the mode-possessor for its intelligibility. In other words, the mode-possessor (the prakārin) provides the mode's raison d'être. This is clear enough if we inspect the sort of relationship which exists between class characteristic and instantiating individual, but it also explains the otherwise puzzling phenomenon of Rāmānuja's

willingness to refer to substantival entities as modes. Rāmānuja allows that such substances as ear-rings and staffs are to be reckoned as modes even though, unlike class characteristics and properties, they are capable of existing apart from their mode-possessor (viz. the ear-ring wearer and staff-bearer). If the PSA expression had no more than an existential import we could not explain the modal nature of substantival things like staffs and ear-rings. In fact, in the case of the relationship between the staff and its bearer, for instance, Rāmānuja is adverting mainly to the epistemological nuance of the PSA expression when he says that this relationship is modal. In other words, though *qua substance* the staff has an independent existence, *qua staff* it has no reason for existing, no intelligibility, apart from the staff-bearer. Staffs and ear-rings are to be understood for what they are only in relation to staff-bearer and ear-ring wearer respectively. They exist for the sake of the latter and as such are modes of the latter. The movement to grasp their intelligibility is in one direction only. Thus it does not matter really whether the mode in general is a substance or not; for something to be a mode it must either be essentially incapable of existing apart from the mode-possessor or be unintelligible as the sort of thing it is apart from the mode-possessor, or both. This is what Rāmānuja is intimating that the PSA expression says with respect to the kind of relationship that obtains between mode and mode-possessor; further he is implying that both the ontological and the epistemological nuances as described above apply in the PSA relation between support and thing-supported (the former's mode) in the context of the self-body model. This is why we have translated 'pṛthak-*siddhy*-anarha' by 'incapable of being *realized* apart from', where 'realized' is intended to bear both the ontological ('real-ized') and the epistemological ('realized') nuances. In other words Rāmānuja is saying that the thing-supported in so far as it is the

body$_m$ of its support cannot in essence exist apart from the latter (its self$_m$) nor be understood for what it is apart from the latter. That is, the self$_m$ 'supports' its body$_m$ (relatively or absolutely) both existentially and intelligibly.

Applying the self-body model microcosmically under this heading from the epistemological point of view, the finite material body, according to Rāmānuja, is unintelligible for what it is (i.e. *this* organic body and of *this sort*) apart from the ātman. It derives its raison d'être from the latter and exists to serve the purposes – in the final resort, liberation – of the latter. But the material body's dependence on the ātman in this way is not absolute. The finite ātman cannot supply the body's raison d'être in its fullness, for the finite ātman itself is not its own raison d'être. For this side of the picture we must look to the macrocosmic application of the self-body model in this context. Here Brahman is the epistemological support of the world, his body$_m$ – the ultimate principle of its intelligibility. In other words the world exists to serve Brahman's purposes (purposes neither extrinsically nor intrinsically necessary to Brahman, we might add). Speaking particularly, Brahman supplies the ultimate raison d'être of the finite ātmanic composite, which exists for Brahman's ends. Once more a question assails us: if the finite ātman derives its intelligibility from the supreme being alone, has it no import of its own in terms of which we can make sense of the material world? Is there no real meaning to our saying that the material world has intelligibility in terms of the finite ātman's ends? Rāmānuja would want to answer in the affirmative. Again, the way he goes about holding together the apparently conflicting insights of Brahman being the ultimate principle of intelligibility of everything and of the individual ātman being a real bestower of meaning in its own right to the material world, we will take up when dealing with Rāmānuja's method.

(2) The controller / thing-controlled (niyantṛ/niyāmya[1]) relationship

To begin with, the terminology here stresses the personal nature of the dominant term, i.e. the self$_m$, of the self-body model. But what sort of 'control' is being implied? It is significant that the Sanskrit term 'nivantṛ' which we have translated by 'controller' can be used in the sense of 'charioteer' (cf., e.g. Maitri Upaniṣad II.6). This gives us a clue to the relationship intended by Rāmānuja under this heading. Just as the charioteer guides and directs his horses along the path, and restrains them if wayward, so the self$_m$ should act as guide to its body$_m$, leading it to its true end and checking it if wayward. If the body$_m$ is a conscious principle this controlling must respect, in moral actions, the free will of the latter; if the body$_m$ is not a conscious principle, or involuntary actions are being considered, the self$_m$ is empowered to take full control to bring about its own acceptable ends. In any case the self$_m$ as controller is presumed to have the knowledge and will to achieve its ends.

Macrocosmically considered, Brahman, the supreme Lord, is the controller of the world (or its individual substantival components), the thing-controlled. The Lord through his omniscience and omnipotence, guides and directs conscious and non-conscious beings to their destiny, their true fulfillment. Part of the general terminology of this sub-model is Rāmānuja's frequent description of the Lord as the 'inner controller (antaryāmin)' of finite being. Where conscious agents are concerned, the Lord guides and directs through the scriptures, through grace in genuine religious experience in private and social life, and last but not least through the power of the agent's karma which sets up the general options-for-living for the agent. where the non-conscious world is concerned, by considering

the accumulated and unmatured karma of all conscious beings of a previous world (for Vedāntins like Rāmānuja believed in the periodic dissolution and production of the world by the Lord – the non-liberated souls remaining in a sort of suspended animation in the intervening period), the Lord determines the sort of world each new world is to be with its natural laws and relationships. Thus the Lord exercises his control over the world.

We must note that where the body$_m$ of the Lord *is* a system of some kind, part of the controlling process consists in harmonising so far as this is possible in the context of the natural conditions of the universe and of the co-operation of man, the various inter-related components of that system. This feature of the controlling process takes account of a meaning of 'yam' (the verbal root from which 'nivantṛ' (i.e. 'controller') is got) prevalent in that seminal religious text for all Vedāntins (Rāmānuja included), the Bhagavadgītā, in connection with the ātman's integrating and harmonising of its body and bodily components.

From the microcosmic point of view, the controller is the individual ātman and the thing-controlled its natural (healthy) body. It is common experience that the individual self controls the body for its own ends. For the good soul, however, these ends should be in accord with the legitimate goals and methods of the sacred texts, and in any case subordinate to the highest goal of man – liberation from this world of rebirth. Rāmānuja is keen to acknowledge a core of moral autonomy for the finite ātman, so that it is a 'controller' – a determiner of its destiny – in the true sense. Does not this acknowledgement clash with the claim that the Lord is universal controller of the whole world, of conscious and non-conscious being alike, which Rāmānuja, in traditional theist fashion, is prepared to make? We shall take this question up in due course.

(3) The principal (śeṣin)/accessory (śeṣa) relationship

Rāmānuja says: 'This is, in all cases, the relation between principal and accessory: the accessory is that whose nature it is to be given over to the tendency to render due glory to another; that other is the principal.'[1] If under the epistemological aspect of the support/thing-supported relationship we can say that the body$_m$ exists to serve the natural or (in Brahman's case) self-determined purposes of the self$_m$, here we can say that the very purpose for existing, as it were, of the body$_m$ as accessory to its self$_m$ as principal, is to glorify – to proclaim the importance and superiority of – the latter. This the accessory does, if it is a person, by appropriate forms of subservience to its principal and by conforming to the latter's will. So far as non-conscious being is concerned, the accessory renders glory by just *being* what it is, always presuming, of course, that there is conscious being present to appreciate this.

Again, from the macrocosmic viewpoint, Brahman is the principal of all finite being, his accessory. And finite being exists to render due glory to its Lord, either by being what it is or by that worship of life and thought which fashions more and more in the devotee a 'holy will' in total conformity to the Lord's. In this way of speaking, that is, in terms of the Lord's being principal and of finite being acting as his accessory, nothing can be said to accrue to the Lord; the purpose of the accessory is fulfilled if the Principal is duly allowed to be magnified for the sort of being it is by the accessory's recognition of the sort of being *it* is. In other words, the Lord is aknowledged to be the focus, fulfillment, crown and source of value of the world.

But there is a microcosmic application of the principal/accessory relationship. In this case, the individual ātman is the principal of its accessory, the material body. The material body is meant to 'set off'

the jewel that is its inner spirit. And the material body does this by its beauty, its prowess, its various capacities, its subservience to the ātman. Further, in so far as the whole inanimate world can be regarded as an 'extension' of the (human) ātmanic composite – for it is the human ātmanic composite that best encapsulates in this world the principal/accessory relationship – by functioning as the extended body$_m$ of the finite ātman (its self$_m$), the human person becomes the summit of visible creation. This means that the human person in and through its spiritual principle, its ātman, is not only the bestower of meaning to the world in a real sense, but is also the material world's value-giver; more, that it is in some way the seat of value, that it is an end-in-itself.

Well then, we may remark, there seems to be a problem here. How can we say, in one breath as it were, that the Lord is the ultimate 'principal' of creation, the finite ātman existing solely to magnify the Lord as his accessory, and that the individual ātman itself is an end-in-itself, a value-bestower in its own right in this world? This question, like the others, will be dealt with presently as we go on to consider Rāmānuja's theological method.

We have completed our review of what Rāmānuja means by the self-body relationship so central to his thinking. We shall now be able to appreciate how central it is by examining his theological method. We start with the observation that Rāmānuja himself has nowhere explained his method in the way we propose to do. This is why his theology is so hard to interpret as a *conceptual system*, viz. a coherent and articulate ordering of a great many ideas so as to produce a comprehensive vision of reality in the light of the Transcendent. And there can be no doubt that Rāmānuja intended his thinking to be 'systematic'. We propose to interpret his method by the use of an 'imaginative construct' which we think incorporates all the significant elements of his thinking and which in fact pivots

around what is admittedly for Rāmānuja central for his theology: the self-body model. Because of the limitations of space we shall not be able to show here how all the noteworthy facets of his thinking fit into the model as we have interpreted it. As noted before the fuller study has been attempted elsewhere. But I hope enough will be done to indicate how the self-body model comprehends the more salient features of Rāmānuja's thought systematically.

To begin with, Rāmānuja's focal insight and concern with respect to the relationship between God and the world is that this relationship is one of 'identity-in-difference'.[1] He articulates this relationship distinctively in terms of his self-body model. And to do this his method consists in the identifying and then the holding together of a system of polarities. In other words it is this 'system of polarities' which finds expression in the self-body model comprising as it does its three sub-models or component relationships which themselves have, as we have seen, a two-tiered application: in microcosm to the finite ātman and its $body_m$, and in macrocosm to Brahman and his $body_m$. It is through the interplay and the inter-relationships of the various polarities of this complex two-tiered structure that the range and depth of Rāmānuja's theology are expressed.

By 'polarity' here I mean a more or less stable tension between two (sometimes more) poles such that this tension is resolvable into two mutually opposing but synchronous tendencies. One tendency is 'centripetal' whereby the poles are attracted to each other; the other is 'centrifugal' keeping the poles apart. Each tendency by itself is destructive of the polarity as a whole, but as simultaneously corrective of each other the tendencies work towards preserving the dynamic equilibrium of the system. The centripetal and centrifugal tendencies comprising a polarity can each be articulated in terms of

a distinctive but complementary (to each other) mode of discourse. Each polarity itself is translatable into its own appropriate and more or less self-contained pattern of speech which ultimately, through a set of 'universalising factors', must be integrated into the universe of discourse of the polarity-system as a whole. All this sounds very complicated but we can explain what we mean by Rāmānuja's 'polarity-theology' by illustrating how it works. This can conveniently be done under each of the component-headings of the self-body model.

(*a*) *The support/thing-supported relationship*. Under this heading, in its macrocosmic application, Rāmānuja's understanding of Brahman's originative causality with respect to the world finds expression. To understand the polarity-method in this context, we must first consider briefly what Rāmānuja's position is on Brahman as 'originative cause'.

In this respect Rāmānuja regarded Brahman as being, at the same time, the 'substrative cause (upādāna kāraṇa)' and the 'efficient cause (nimitta kāraṇa)' of finite being. Let us look at each type of divine causality in turn. Now Rāmānuja (and the other Vedāntins) would find quite unsatisfactory a doctrine of 'creation', i.e. the production of the world by God out of nothingness, such as has traditionally been held in Christianity. To hold such a belief would do scant justice to those scriptural texts and images (and to the living religious experience encapsulated by them) which point to Brahman as the very ground of being, as the source from which finite reality emerges, in which it subsists, and into which it is finally re-absorbed.[1] Rāmānuja wanted no ontological, 'creational' gap between the infinite source of being and its finite effects. It was in the concept of the 'substrative cause' that he, like other Vedāntins, found what he was looking for. The substrative cause is that out of which the effect is produced. A well-known empirical example for the Vedāntins was

the clay out of which the clay pot (the effect) was produced. From the point of view of the world's existence, Brahman is the substrative cause of the world. The world is produced out of him, continues to subsist in him, and is finally re-funded into him. In this way Brahman 'supports' the world, the thing-supported, which 'cannot be realized apart from' him. Indeed, to preserve this insight, Rāmānuja is prepared to talk of Brahman in his creative aspect as the 'causal Brahman' and of the produced world as the 'effected Brahman'.[2] Now this way of talking can be said to be 'centripetal' in that it tends to collapse the Brahman-pole and the world-pole into each other by its 'kenotic' emphasis; that is, it empties out, as it were, Brahman's reality into the world, identifying the reality of the cause too closely with that of the effect. By seeking to do justice to the utter derivativeness of the world's being, it threatens the transcendence of that being's originative cause.

Now Rāmānuja (and his colleagues) were well aware of this threat to their God. As a corrective they spoke of Brahman also as the efficient cause of the world. The efficient cause is that cause which, being different from its effects, initiates and sustains the action which brings them into being. In our empirical example, the potter is the efficient cause of the clay pot(s).[3] For Rāmānuja Brahman was also the efficient cause of produced being and as such was not to be identified with finite being. Brahman's initiating causal action was sovereign (that is, it was intrinsically and extrinsically unnecessitated) and in need of no accessory causal agency of any kind. Such causality was 'supportive' of finite being in that without it finite being could not be 'realized', could not be translated from potency to act. Now to talk of Brahman as the world's efficient cause could be regarded as talking 'centrifugally' since, in so far as the efficient cause is different from its effect, the Brahman-pole and the world-

pole are sought to be kept apart. The way is thus open for Brahman's supreme transcendence to be preserved.

Thus here we have within one and the same context of divine originative causality, a polarity expressed in terms of two modes of discourse: a 'centripetal' one and a 'centrifugal' one. The centripetal mode of discourse emphasises Brahman's identity with the world, the centrifugal way of speaking his difference from the world. Neither mode of discourse within the polarity is sought to be eventually done away with, as for example, Śaṃkara did. Śaṃkara also accepted that Brahman was the world's substrative as well as efficient cause – but only from the point of view of the conditioned Brahman (i.e. the saguṇa Brahman), Brahman viewed through the illusory spectacles of duality. From the final standpoint there is no ground for polarity discourse since there is but one reality (the nirguṇa Brahman) – non-dual, relationless and ineffable. Rāmānuja on the contrary affirmed the permanent value of polarity-discourse in theology. In fact, it is distinctive of his theological method to identify, on the basis of an equal hermeneutic status given to all kinds of scriptural texts (dualist, non-dualist etc.) and the religious experience grounded on these, a range of polarities and to use their (mutually) counterbalancing modes of discourse, within the general framework of the self-body model, to articulate and comprehend the unique sort of identity-in-difference he sought to preserve between his God and the world. Thus though describing Brahman as substrative and efficient cause is not distinctive to his system (we have seen that Śaṃkara also speaks thus – though in a limited way), to identify it as a polarity is distinctive, the more so when we consider that under this heading Rāmānuja works out a number of other polarities which we cannot mention here.

There is a further corrective he applies, by his distinctive method of shifting our perspectives on Brahman and the world, to

counterbalance the polarity of Brahman's originative causality which after all on the whole does emphasize the utter derivativeness, the non-substantival nature, of the world's reality. This takes account of the 'second-tier' of the self-body model, viz. the supportive relationship pertaining to the individual ātman as the self$_m$ of its material body. From this point of view we experience ineluctably our non-sublatable substantival reality in and through the relationship we have with our bodies (this Rāmānuja seeks to establish by an analysis of conscious and other 'embodied' experience). To come back then to a question raised earlier, one's individual reality is not swallowed up by and in that of Brahman.

(*b*) *The controller/thing-controlled relationship*. Here too a polarity is to be discerned. From the theological point of view this sub-model has as its dominant idea the Lord's absolute control over the world, and his guiding it to its true destiny. A chief way of doing this is by his considering the unmatured karma of the previous world(s) and by his fashioning the world-to-be accordingly. This engenders a mode of discourse fully alerted to the sovereign, unthwartable will of the Lord. The world is in danger of being viewed as a pre-determined series of events, and human persons, the true representatives of this world, run the risk of being evacuated of any moral autonomy (in the context of a deterministic Calvinist-type ethic). The tendency in this perspective is centripetal in that no room is left for genuine chance, contingency and (moral) freedom in the world – the world has no 'character' of its own in the face of the Lord's absolute sovereignty. As a corrective Rāmānuja espouses a centrifugal mode of discourse in which divine grace and divine 'incarnational' descents come into play. This way of speaking implies moral and physical freedom on the part of finite agents to respond to the Lord's love in human love (cf. the role of bhakti). A polar opposition between the Lord and the world is thus set up, with all the language, imagery and behaviour

that this implies. Again, both (centripetal and centrifugal) modes of theological grammar are to be held together in the life of the devotee, each with a validity in its own right. Again, another facet of the identity-in-difference relation between God and the world is being proclaimed by Rāmānuja.

A further corrective to the centripetal tendency comes from regarding the self-body model under this heading in its microcosmic aspect. Here the individual self experiences its genuine moral and physical freedom in its (albeit limited) control over its material body (which is its body$_m$). The autonomy of the human self is not swamped by God's absolute, universal causality.

(*c*) *The principal / accessory relationship.* Speaking macrocosmically, the centripetal force is supplied by the insight (and its grammar) of the Lord being the supreme End, Focus and Value of creation, and of the world, conscious beings included, existing solely to glorify him.[1] And which student of religion can deny that the literature of all the great theistic religions is replete with this insight? 'God is everything, we are nothing; He must become greater and greater, we less and less'. The problem here is that if such talk is taken to its logical extreme, man ceases to have any intrinsic value and becomes a mere means, not only in relationships where human beings are concerned, but in relationship with God too. And this Rāmānuja rejects.

The corrective, i.e., the centrifugal mode of discourse is supplied by the self-body model here in its microcosmic application. In the finite ātman's relation to its body$_m$ (i.e. its material body) the former knows and is assured of its intrinsic spiritual value qua ātman, a knowledge first derived from the scriptures but then experienced in union with the Lord. The ātmanic comppsite as an end-in-itself cannot be treated as a mere means, even by God himself.

For Rāmānuja the rationale underlying this affirmation is derived from his view that we participate most directly in Brahman in and through our ātmans; we share his basic spiritual nature in a relation of identity-in-difference whereby we are his bodies$_m$ and he our self$_m$.

We can conclude this brief treatment of the way Rāmānuja's polarity-theology works with the observation that the whole system is bound together in the first place by the two over-arching terms/concepts i.e. 'self' (or 'ensouler', namely śarīrin) and 'body' (śarīra) and then by the somewhat less universal ideas and language contained in the three submodels, applied macrocosmically and microcosmically. Through these more and less universal 'stepping-stones' of ideas/terms connecting resonances are set up between particular polarities along which the mind can move freely integrating the whole. We can now pass on to the next section.

II

In this section we shall comment briefly on how Christian thought and practice might profit from the content and method of Rāmānuja's body-of-God theology. I am assuming that there is no need to justify the desirability, indeed the need, for Christian dialogue with non-Christian religions, Hinduism included.[1] Since space is short, it will be convenient to make our observations in the form of points.

(1) I submit that it would be theologically fertile, both conceptually and devotionally, for Christians to regard the world, and its individual components, as God's body. No doubt in the theological articulation and development of this idea, certain aspects of 'body' would have to be eschewed (e.g. the term's explicit organic connotation) but other aspects, bolstered by an appropriate imagery, e.g. the great

intimacy between spirit and body, the bodily *indwelling* by its spirit, the sense of mutual *belonǵingness* between the two, applied theologically, could be liturgically evocative and devotionally sustaining. After all, in Christian tradition there is a precedent of a kind for 'body-talk' in a divine context, in the doctrine of the 'mystical body' (especially in traditional Roman Catholic theology). The New Testament epistles also are not afraid to use body-imagery in connection with the faithful's relationship to Christ.

Further, Rāmānuja's body-of-God theology, in its very choice of the 'body' term (i.e. 'śarīra') looks positively on the world of materiality. In the main, Christians have tended to reflect this positive outlook, but Rāmānuja's articulation introduces a much-needed note of radical ambiguity to the 'body' idea. Though in its microcosmic application the self-body relation is intended to be a benign one – the $body_m$ furthering the ends of its $self_m$ and in the process coming to fulfillment – theoretically the relationship remains an open one in that the $body_m$ (really, in this context, one's material body, but by extension, the material world) may 'rebel' (in terms of natural opaqueness/resistance to technological control or penetration, through sickness, disease etc. and even death) and thwart the true goal(s) of its $self_m$. Matter, thus, even in its most intimate associations with man, has a feature of inherent 'explosiveness' which is potentially dangerous to man. As a result, matter has to be understood, by its $self_m$, for what it is and what it can do – its 'co-operation' has to be sought. Allied to this insight is a much-needed corrective for the western world especially (but also for the east which is beginning to ape the west here), in connection with its Nature-exploitative and anti-Ecological ethos derived from Genesis 1: 26–30. We subdue and dominate, rather than co-operate with, our $bodies_m$ at our peril, as we are beginning to discover.

Much of all this has special relevance for the future Church in India. The Indian Church in the past has sought no rootage, theologically, devotionally or liturgically, in the local Hindu tradition, 'great' and 'small' (though positive strides in this regard are now being taken especially in Roman Catholic circles). As a result, for the most part, the Church is regarded (and this is now being recognised as a feature of its self-image) as an alien in what should by now be its home. I suggest that Rāmānuja's body-of-God theme provides a rich source, in the ways indicated, for the Indian Church's 'inculturation'. It would be all the more possible, in its Indian context, for the Church to make use in its liturgy and devotional practice of appropriate images and language from this theme.

(2) Looking at, now, the more particular aspects of the self-body model under its three component headings there is clearly much food for dialogic thought. The stress on the utter derivativeness of the world from God, both as to existence and intelligibility (distinctively through the notion of the 'substrative cause'), the insight into the Lord as absolute controller of world and individual, and the emphasis on the Lord's being the crowning glory of creation, counter-balanced from the microcosmic viewpoint, by the finite ātman's being in its own right a support, controller and principal of its body$_m$,[1] both challenge and echo Christian thought. This brings us to the next point.

(3) Here let us make some observations on Rāmānuja's method. As we have seen this consists in, within the framework of the component submodels of the self-body model in its two-tiered application, the setting-up of a network of polarities (each with its distinctive mode of discourse). The point of this method is, not to do away with eventually the tension between polarities by dissolving one or other polarity, but to preserve the polarities as a system in dynamic and creative equilibrium (with the recognition that each

polarity has a validity in its own right). For this method to make sense the referent being subjected to articulation and analysis besides being a multifaceted whole must in the last resort be recognized to elude exhaustive conceptual analysis, an 'entity' in some way inexhaustible in its secrets and reluctant to yield them (e.g. God, man, the Church). This is why Rāmānuja's method is a *theological* method par excellence dealing as it does with the 'mysterium tremendum et fascinans' par excellence. Further, this method must work on the deliverances of *experience*. Thus God is experienced as the ground of our being, 'in whom we live and move and have our being'; yet we also experience our own substantival realities. God is experienced as the sole raison d'être for our existence; yet we experience the inalienable ends-that-we-are-in-ourselves, and so on. The answer is not to dissolve away one or other seemingly conflicting limb of these paradoxes by a seamless logic that seeks to do away with paradox altogether (as the determinists do in resolving the paradox of human moral autonomy and God's universal causality), but to acknowledge paradox for its true value by 'polarity-theology' such as Rāmānuja has attempted.

This is not an invitation to wallow in 'mystery' or to indulge in 'soft thinking'. Any serious student of Rāmānuja cannot but be impressed by the rigour of his analyses *within* the various polarities, according to an uncompromising logic whose rules (if not premises) apply with equal strictness throughout the whole system. It is rather a serious and humble recognition of paradox and mystery as ineluctable facts of human experience. Surely Rāmānuja the theologian is offering us something, in the method and content of his body-of-God theme, that we could ponder with much profit.

[1] For a summary of Rāmānuja's life and for discussion on his date cf. *The Theology of Rāmānuja* by J. B. Carman (New Haven and London, 1974), ch. 2.

[2] In this article 'God' is used as a descriptive term for the supreme being.

[3] This article contains the substance of a fuller discussion in my forthcoming book on Rāmānuja, *The Face of Truth*, to be published by Macmillan.

[4] In Hindu thought at least, a monotheist need not be a convinced ontological dualist. Śaṃkara, for example, espoused a theism which was to be sublated ultimately in an uncompromising non-dualism.

[5] Svarūpa: 1it., the form proper to an entity *qua* that entity.

[1] The exception arises through Rāmānuja's ascribing to the Lord a supernal, anthropomorphic form, constituted of a sui-generis substance that is not material. Contemplation of and association with this divine form, which possesses corporeal qualities like charm, beauty, pleasing proportions, etc., is part of the blissful experience of liberation. Of course, the Lord's divine form does not exhaust his divine nature nor is it to be identified with the essential core of his being (defined by the five characteristics mentioned earlier).

[2] Detailed discussions about the divine nature and divine causality will be found in my forthcoming book.

[3] III. 7. 15, Kāṇva recension.

[4] We cannot substantiate this here, but cf. *God and the Universe in the Vedāntic Theology of Rāmānuja*, by Eric J. Lott (Rāmānuja Research Society, Madras, 1976), ch. iii.

[1] Especially under II. 1. 8.–9. Quotations from this Sanskrit commentary in this essay are given from Vasudev Shastri Abhyankar's edition of the *Śrī-Bhāshya by Rāmānujāchārya* (Bombay, 1914, abbr. ShBh). Though all translations from the Sanskrit in this essay are my own, reference will be made to the corresponding page number of G. Thibaut's English translation of the Śrī Bhāṣya (*Sacred Books of the East*, ed. by F. Max Müller, vol. XLVIII) for those who wish to consult an English rendering in wider context.

[2] śarīraṃ hi nāma karmaphalarūpasukhaduḥkhopabhogasādhanabhūtendriyāśrayaḥ pañcavṛttiprāṇādhīnadhāraṇah pṛthivyādibhūtasaṃghātaviśeṣaḥ. *Op. cit*. 11. 1. 8, p. 409, ll. 8–10; Th., pp. 419–20.

[3] ato yasya cetanasya yaddravyaṃ sarvātmanā svārthe niyantumdhārayitum ca śakyaṃ tacehesạtaikasvarūpaṃ ca tat tasya śarīram iti śariralakṣaṇam āstheyam. *Op. Cit*. 11. 1. 9, p. 413, 11. 14–16; Th., p. 424.

[4] Rāmānuja never says that the world is *like* (in Sanskrit with the use of '-vat' or 'iva') Brahman's body.

[1] In Vedāntic philosophical anthropology, the human individual is a composite of spiritual ātman, whose nature it is to be conscious, and material body (essentially insentient). Though Rāmānuja, in common with other Vedāntins, maintained that all living things (including plants) were composites of a material body and an ātman (whose uniform conscious nature in sub-human forms of life could not for one reason or other be expressed fully), it is clear

that he regarded the human composite as the (qualitatively distinct) paradigm of the empirical union of spirit and matter, a paradigm we shall adhere to in this essay.

[2] See chapter 10, i.e. 'Anima Mundi' in A. Farrer's *Faith and Speculation* (Adam & Charles Black, London, 1967).

[1] ayam eva cātmaśarīrabhāvaḥ pṛthaksiddhyanarhādhārādheyabhāvo niyantṛniyāmyab hāvaḥ śeṣaśeṣibhāvaś ca. sarvātmanādhāratayā niyantṛtayāśeṣitayā ca – āpnotīty ātmā sarvātmanādheyatayā niyāmyatayā śeṣatayā ca – apṛthaksiddhaṃ prakārabhūtam ity ākāraḥ śarīram iti cocyate. evam eva hi jīvātmanaḥ svaśarrasaṃbandhaḥ. evam eva paramātmanaḥ sarvaśarīratvena sarvaśabdavācyatvam. From another important work by Rāmānuja, the Vedārthasaṃgraha, in J. A. B. van Buitenen's edition (Poona, 1956), paragraph 76, p. 114 (this edition also has an English annotated translation). The expression 'expressed by every (type-naming) word' refers to Rāmānuja's theory of divine denotative predication which cannot be dealt with here.

[2] Not, of course, in so far as the material body is made of matter, or has a distinctive shape, or functions in its characteristic biological ways, etc., but in so far as the material body is related to its ātman in the technical sense described in n. 1, above.

[3] 'Model' is to be understood in the sense of a conceptual structure or framework in terms of which a complex, multifaceted reality can be opened up to the understanding.

[1] jātyāder vastusamsthānatayā vastunaḥ prakāratvāt prakāraprakārinoś ca padārthāntaratvaṃ prakārasya pṛthaksiddhyanarhatvaṃ pṛthaganupalambhaś ca…. VedS., para. 62, p. 107.

[2] For Rāmānuja class characteristics and qualities were things with a tenuous reality-status.

[1] By rights, Sanskrit grammar demands 'niyamya' but all the best authorities have 'niyāmya'.

[1] ayam eva hi sarvatra śeṣaśeṣibhāvaḥ. paragatātiśayādhānecchayopādeyatvam eva yasya svarūpaṃ sa śeṣaḥ paraḥ śeṣī. VedS., para. 121, p. 151.

[1] This is the point of his theology as 'viśiṣfādvaita' as it later came to be called, namely the non-duality of differenced being.

[1] See, e.g., Taittirīya Upaniṣad iii. 1. 1 for an important śruti reference encapsulating this idea.

[2] Cf., e.g. the discussion under ShBh. 1. 4. 23, p. 386, li. 18–22; Th., p. 399.

[3] In empirical experience the efficient cause is numerically distinct from the substrative cause. In Brahman's case Rāmānuja was keen to identify the two.

[1] Often enough, especially in his commentary on the Bhagavadgītā, a commentary that is more devotional than philosophical, Rāmānuja states that it is the self's sole function/essence/delight to be the Lord's accessory. Cf., e.g. his comments under Gītā 7. 19.

[1] I have indicated the outlines of a justification of this kind in my article 'Through a prism brightly' in *Vidyajyoti*, (April 1980) (from Vidyajyoti, Institute of Religious Studies, 23 Raj Niwas Marg, Delhi 110054).

[1] Rāmānuja's philosophical anthropology faces a potentially grave problem which the Christian adaptation need not face. Though we have pointed out earlier that Rāmānuja theologizes as if the human ātman-matter composite is qualitatively superior to sub-human ātman-matter composites (even some logical evidence in the form of indirect arguments can be adduced to support this stance) his acceptance of the theory of rebirth (inclusive of ātmanic embodiment in sub-human forms of life) and his lack of critical treatment of the implications of this theory for issues like determining personal identity in general and intrinsic human value over and above non-human animal worth, leave importam unclarities in his system.

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A DEATH-BLOW TO ŚAṄKARA'S NON-DUALISM? A DUALIST REFUTATION

I. INTRODUCTION

Many of us, and I am no exception, have been led to assume, almost unconsciously, that Śaṅkara is India's greatest philosopher and that the nondualist philosophy he consolidated, Advaita Vedānta, is the supreme spiritual philosophy of India, if not of the whole world. Dualist (Dvaita) opponents like Madhva, on the other hand, have usually been appreciated very little, if at all. Several of my colleagues think of Madhva as a reactionary, if brilliant, theist whose philosophy best serves as a foil to Śaṅkara's. Madhva, it almost seems, is studied not for his own philosophical virtues but as a means the better to appreciate Śaṅkara's. I believe that we must weigh more carefully the dualist position, particularly its trenchant critique of non-dualism. We may discover in the process that Śaṅkara, whatever else he was – brilliant stylist, mystic *par excellence*, deft polemicist – was not the originator or consolidator of anything like an internally consistent metaphysics.

Vādirāja, a sixteenth-century Kerala poet-philosopher who championed Madhva's dualism,[1] believes that he has reduced Śaṅkara's non-dualist Vedānta, particularly as it has been shaped by its later proponents, to absurdity at a crucial point. It is this refutation – and it is but one of a number that I might have selected from those developed by dualist thinkers – that we will examine here.

Śaṅkara's system is, of course, built around the central affirmation that the essence, or true Self, or Ātman, of each of us is ultimately identical with the one Reality, Brahman, the nature of which is eternal, unimpeded blissconsciousness. Because, however, avidyā, or the principle of illusion which makes the object-world appear, is superimposed on this Ātman, the blissconsciousness of our essential being is not apparently experienced; this consciousness exists for each of us, as it were, embryonically; it awaits the moment when it is to be freed (mukta), at which time it will exist unimpededly as the pure, undifferentiated bliss-consciousness that is Brahman. In the meantime it exists in its unholy alliance with avidyā and *seems* to be other than it is; it seems to be an individual entity continually buffeted by a flux of experience ranging from the most painful to the most happy. It seems, in a word, to be in bondage. This 'seeming' entity is called *jīva* by Śaṅkara; jīva, which is usually translated 'soul', is a complex of spirit and matter; it is the Ātman conditioned by the limiting adjuncts of the person's mind and body.[1] As such, it is the agent and enjoyer of experience.[2] In reality, Śaṅkara believes, this jīva and its experiences are as illusory as avidyā itself, for they cannot exist without avidyā. That which underlies this jīva and which ultimately the jīva is, namely the Ātman, is of course real, but the jīva as such and all its experiences, which seem to us now so real, are ultimately purely imaginary and will be utterly extinguished at liberation.

The dualists Madhva and Vādirāja, in contrast, hold that the jīva, which they regard as the spiritual nucleus which enlivens the body and is the person's true identity, is real and will not be extinguished at liberation; that there is no such entity as either the Ātman or the jīva in the Śaṅkarian sense; and that Brahman is radically different from the real jīva. Furthermore, Brahman is a personal God – the creator of the universe (not *ex nihilo*, however), the lover of his

devotees, the administrator of the law of karma – and not an impersonal bliss-consciousness.

In spite of their diametric opposition on these major issues, Śaṅkara and Madhva, and their respective followers, agreed on many details – and their agreements will be important for an understanding of Vādirāja's critique about to follow. Both accepted the doctrine of karma, both believed that souls were rewarded for good or proper actions (dharma) in a temporary paradise (svarga) and were punished for evil or improper actions (adharma) in a frightful domain (naraka) not unlike popular Christian notions of hell. Both, moreover, held positions at least vaguely akin to what Western philosophers mean by 'mind-body dualism'. The universe, each thought, was ultimately reducible to two opposing yet interlocking principles : spiritual reality (cit) and physical existence (jaḍa). Spiritual reality was invariably characterized by consciousness; physical existence, or matter, by unconsciousness. There was a difference, however – and both again were in agreement – between the mental apparatus and consciousness: the 'mind' (manas or antaḥkaraṅa) was for each made of matter, though extremely subtle matter, and as such was radically distinguishable from the spiritual consciousness, the cit, which suffused the mind and gave it life. While it is true that all this that the two philosophers could agree on was from Śaṅkara's point of view only empirically or conventionally true or real (vyāvahārika), while from Madhva's it was absolutely true or real (pāramārthika), this distinction, as I will show below, will not directly impinge upon the rebuttal about to begin.

We are now in a better position to assess Vādirāja's rebuttal of nondualist metaphysics. We will examine specifically fourteen verses (anuṣṭubhs) from his *Nyāyaratnāvalī* (or *Jewel-Necklace of Logical Arguments*),[1] a work of 901 verses dedicated almost entirely to the piecemeal destruction of nondualism. I have commented on the text

wherever necessary for clarity, especially where the argument being refuted is not explicitly stated. This commentary might in a few places seem foreign to those who know Śaṅkara well but are not familiar with the tradition built around him; for Vāādirāja is opposing specifically the non-dualist tradition as it had been developed in his day (sixteenth century), and my explication will accordingly reflect this latter-day non-dualism; fortunately for our purposes this tradition is in its essentials the same as Śaṅkara's. The commentary may also seem partyspirited. I should say at the outset that my intention in the commentary has not been to balance Vādirāja's claims against his opponents', but simply to explicate Vādirāja's argumentation. At the conclusion of the work I will present the non-dualist defence, and in Śaṅkara's own words. The reader will at once notice, incidentally, that Vādirāja's treatise is written as if the nondualist adversary, who is addressed in the second person, were assumed to be the reader.

II. VĀDIRĀJA'S TEXT WITH COMMENTARY

'If the Supreme Being and a soul are identical (as you claim), then the soul baking in hell (naraka)[2] for its sins will experience the harsh pain; and the Blessed One, dwelling eternally in the heart (here meaning the soul) in order to incite both the activity and the experience of this (soul), would (Himself) suffer by virtue of its suffering.'

He begins the rebuttal by acknowledging along with his adversary, the non-dualist, that certain souls suffer in hell, according to the law of karma, for their sins. But if that is the case, he goes on to say, then non-dualists are in for an embarrassment. For they take Yājāvalkya literally when he says, 'On the heart, Your Majesty, all beings are supported. The heart, verily, Your Majesty, is the Supreme Brahman.'[3] Thus they are compelled to draw the conclusion, Vādirāja claims, that Brahman itself must suffer the very pains of hell that the soul (or

'heart'), with which it is identical, is suffering. And how can Brahman, which non-dualists regard as unimpeded blissconsciousness, do that?

'It is proper to hold that only the soul can sin but that matter cannot sin. Ask yourself whether expiation (for sins) is proper to a man or to a can!'

Vādirāja is wary lest his non-dualist opponent, in order to protect the Ātman from the imputation of sin and suffering due to it, since either of these would hardly befit Brahman said to be identical with it, should maintain in the course of argumentation that it is not the soul (jīvĀtman) which sins (or commits any act, for that matter), but rather the antaḥkaraṅa, or inner mental organ. Vādirāja reminds his opponent that non-dualism maintains that this organ is an extremely transparent *material* stuff; by itself, therefore, it is not conscious, it is not intelligent; as superimposed on Pure Consciousness (Ātman-Brahman), it merely *conditions* this consciousness; it may be considered as the lens focusing the light of consciousness.[1]

It would be useless, therefore, for the non-dualist to point to the antaḥkaraṅa as the seat of sin and suffering. Can matter experience the suffering of hell? If so, then one may as well say that a can is capable of suffering as well as a man.[2]

'Furthermore, the body's inner mental organ and the like (i.e. buddhi, ahamkāra) cannot be the seat of sin, as you would require, because in deep (dreamless) sleep, when everything (except the Consciousness of Bliss) is dissolved, the basis of sin would happen not to exist!'

Non-dualists distinguish the blissful Ātman that is our 'real Self' from the antaḥkaraṅa ('inner mental organ'), manas ('mind'), buddhi ('intellect') and ahaṁkāra ('ego'), all of which are matter and in themselves unconscious. They say that ordinary consciousness is a

result of the reflection of pure consciousness on these material instruments of perception. Now nondualists regard the state of dreamless sleep as the one instance in the life of an ordinary man when Brahman-Consciousness shines through unhindered: 'According to them, no one has the experience of "I" in the deep-sleep state.'[3] In other words, all of the machinery of ordinary consciousness is dissolved.

Vādirāja retorts that this teaching is inconsistent with the karma-doctrine as interpreted by non-dualists, at least as long as they insist on regarding the antaḥkaraṅa as somehow the seat of sin. His argument is the same as Vyāsatīrtha's, reported by Narain:

The denial of the ego in the deep-sleep state entails the discontinuity of the 'I' that enters this realm of oblivion with the result that it is difficult to be convinced that the same sleeper has awakened. In other words, the ego in the deep sleep would make the recognition of personality impossible... Because the individual before sleep was a different personality, all his actions must be supposed to have remained fruitless. Not only this, the enjoyments of the awakened individual would appear to be due to no *karma* at all.[1]

Simply stated, the existence of karma is inexplicable if the seat of sin is the egoistic mental organ; for this organ is said to dissolve during deep sleep, and the new one that would replace it upon awakening would be discontinuous with the first.

'Moreover, since this (antaḥkaraṅa) is dissolved, the dissolution (in turn) of deep sleep (and subsequent return of ordinary consciousness) would be inexplicable; for, as the clear-sighted say, it is karma which is the cause of everything which happens.'

He says that if the antaḥkaraṅa, the seat of sin and repository of karma, is dissolved, then the routine karmic effect of waking would in itself be inexplicable. There should be an endless sleep!

'Furthermore, you hold that Ignorance clings to the reflection (of Pure Consciousness, namely the soul); (in that case) certainly sin and the rebirths marked by duḥkha (suffering) which result from it would pervade the soul itself. Talk it over with children: "What is responsible for doing right and wrong?', (They'll tell you!)"

Vādirāja is here asking the non-dualists merely to heed the consequences of their own teaching. If the soul is, as they say, the locus of ignorance (avidyā), then the soul itself must experience the effects of this ignorance, which are sin and the round of rebirths resulting from sin. The mechanical, insentient antaḥkaraṅa (mental organ) may indeed be a necessary cause of sin and so forth, but certainly it does not *experience* the sin or its consequences; only the soul can do that. Even children, he concludes, know the difference between spirit and matter. They know that it is the conscious soul itself which commits sin and suffers the consequences. Furthermore:

'A particular momentary, perishable thought is not (the same as) the result (of it existing) at a different time. A present mental state (buddhi) is the doer; another, existing at a different time, experiences (the deed's karmic fruit): indeed, one commits sins, another suffers the consequence! A man of wisdom would ask (at this point): How could the extinction of what has been caused and the emergence of what is uncaused possibly come about? Therefore the soul itself is both the doer and the enjoyer (or sufferer of consequences) since it (alone) is permanent.'

Vādirāja says that if the antaḥkaraṅa, which is non-spiritual and is ultimately no more than a convenient designation of a series of mental states (here labelled buddhis),[1] is the doer and experiencer rather than the Ātman, then the law of karma would become unmanageable. For the mental states which collectively make up the antaḥkarana are *discrete* – the percept of a pot, for example, is both

temporally and qualitatively different from that of a piece of cloth –
and thus there is no principle of continuity which enables us to
contend that the first percept is related to the second. More to the
point, there is no basis for asserting a relationship between the
mental state of a particular evil desire and the mental state of pain
said to be karmically produced by the desire. The law of karma, says
our author, would be made a shambles of, for this law is grounded
on the assumption that whatever does an action itself reaps the
consequences of that action.

It is necessary then that there be a principle of continuity, he says,
if the karma-doctrine is to apply. It is necessary to regard one and
the same thing as both the doer and the enjoyer. What might that
be? It could be only the jīvĀtman he says, for it alone persists. It
alone weaves the disparate mental events into a single tapestry. But,
of course, if the jīvātman is the actor and enjoyer/sufferer, it would
obviously have to be different from the everblissful Brahman-
Consciousness, and non-dualism would have to be abandoned.

Vādirāja's refutation now takes a somewhat different direction; he
begins by defining several important terms used by non-dualists to
explain perception:

'This (soul) has (so you say) its location in the body; the eye (seeing),
and so forth, is the stimulus; the antaḥkaraṅa is the mind (manas);
the buddhi is but (this mind's momentary) agitation consisting in a
thought (or percept).'

He says that non-dualists understand, first, that the soul, which by
itself is one with Brahman, is located in and pervades the body;[2] the
body is its sphere of influence. He then notes that the senses are for
the purpose of stimulating responses within the body-soul complex.
Next he asserts that nondualism treats the antaḥkaraṅa, or 'mind',
whose nature we have already learned something of, as functionally

indistinguishable from the mental category known as manas. Finally he defines the buddhi in the manner already familiar to us. He now continues:

'The percept which consists in acute irritation resulting from the contact of one of the senses, the nose for example, with a fetid taste or smell is no more than this buddhi (you say). But it is always the Ātman (or Self, identical to Brahman) whose nature it is to actually *experience* the affliction, your doctrine says (in effect), while the buddhi is only the impression of the external datum conveyed by the external senses (in this case, the sense of smell).'

Having shown above the absurdity of making the material machinery of consciousness the doer and enjoyer, Vādirāja now intends to show why it is equally absurd to regard the Ātman as the doer and enjoyer. He begins by refining and more fully developing the non-dualist account of experience. What he here says is corroborated by N. K. Devaraja, one of Śaṅkara's better interpreters, who writes:

All appearances hang round the light of consciousness. The *Ātman*, however, does not reveal the whole world directly...the objective world is experienced only when illumined by the light of...the *buddhi33-consciousness.*[1]

And again:

Ātman is caught in experience only when it is associated with the internal organ and its modes. The *Ātman* wrongly identifies itself with the *buddhi* and its modes, the result being its having to move in both the worlds.[2]

What Śaṅkara is saying is that the Ātman and the buddhi *together* account for experience: the buddhi of the antaḥkaraṅa knows nothing by itself; the Ātman without the buddhi knows only the bliss of Brahman-consciousness; but together – somehow – they know the experiences common to men.

Now Vādirāja has all along been insisting on clarity and intelligibility. First he showed how fruitless it was to regard the

antaḥkaraṅa as the seat of experience. In any case, the buddhi, as interpreted by non-dualism, isn't the actual experiencer, but is rather the conveyor, or facilitator, of the experience. But that leaves only the Ātman, or soul, as the experiencer:

'Consequently the soul alone would have the experience labelled "the direct perception of the stream of torment found in hell". If not, you put an end to (your own) orthodox teaching!'

Only by implication, of course. For the non-dualist, of course, does not explicitly make the soul, which he believes to be one with Brahman, the sufferer in hell. Nothing, in fact, could be further fromh is intentions. But how can he avoid this conclusion? Vādirāja pleads. Either the soul is the experiencer or the antaḥkaraṅa is the experiencer. But the non-dualist, after a prod from his opponent, admits himself that the material antaḥkaraṅa by itself lacks consciousness, that it is merely an instrument of consciousness, that it is, so to speak, a 'pill of experience' which the soul must swallow. So that clearly leaves the soul as the experiencer. How could it be otherwise? And what disastrous consequences for non-dualism, given the soul's supposed identity with Brahman, if the soul *is* the experiencer! The only sensible alternative, then, is to admit that the experiencing soul and Brahman are *different*; in other words, are related dualistically.

'Since the Supreme (Brahman) and an individual soul, (although according to you) situated in the very same limiting adjunct (body, antaḥkaraṅa, etc.), are intrinsically different, it is therefore ridiculous to speak of an identity between the two.'

Vādirāja concludes that there can no longer be any doubt that Brahman and the spiritual entity existing within and quickening a man's body are intrinsically different. Therefore non-dualism, which teaches by implication, as Vādirāja is confident he has shown, the

contemptible and sacrilegious doctrine of Brahman's identity with souls that sin and suffer, must be rejected once and for all.

III. CONCLUSIONS

The intent of Vādirāja's argumentation is clear. What in each of us, he asks, sins and suffers? Is it the antaḥkaraṅa? Impossible; for material, nonintelligent matter cannot sin – as even the non-dualist is forced to admit. Furthermore, even if *per impossibile* it were somehow the seat of sin, the law of karma would become unintelligible; for the antaḥkaraṅa is but a series of thought-moments, or buddhis, each lasting only as long as the thought itself: it would flout the karmic law if one thought-moment were made to pay for the sin of an altogether different one.[1] Is the sinner and sufferer, then, the *Ātman*, the spiritual principle limited by the adjuncts of body and antaḥkaraṅa? If so, then, since the Ātman is identical to Brahman, Brahman itself would have to sin and suffer. And that, of course, is unacceptable by anyone's standards regardless of what he precisely means by Brahman. What then sins and suffers? Must it not ultimately be one or the other – either the antaḥkaraṅa or the Ātman? If the non-dualist, looking for an answer, were to point to the *jīva* in contradistinction to the Ātman as the sufferer, that would amount to an evasion; for the jīva, as he conceives it, is nothing but the Ātman in association with the body and antaḥkaraṅa, or, as M. K. V. Iyer puts it, 'Brahman in empirical dress'.[2] And since the intelligent or conscious aspect of the jīva *is* the Ātman, it is clear that the jīva's pain is ultimately the Ātman's. The only remaining alternative, it would seem, would be to hold that the *experience* of pain can exist without an *experiencer* but this Buddhist answer Śaṅkara himself forcibly rejects.

Let us now look at Śaṅkara's own analysis of pain to see if it withstands Vādirāja's and, in general, the Dualist rebuttal. Śaṅkara

writes, 'The pain of the individual soul...is not real, but imaginary, caused by the error consisting in the non-discrimination of (the Self from) the body, senses, and other limiting adjuncts which are due to name and form, the effects of Nescience'[1] In another place he says that 'the soul does not really suffer', although as far as the 'phenomenal world' goes 'we may admit the relation of sufferer and suffering just as it is observed, and need neither object to it nor refute it'.[2] All this amounts to saying that the jīva's suffering is merely apparent, not real. The beginningless transmigratory careers of the infinite numbers of jīvas are the stuff of mere seeming: the joy and pain, the rewards and punishments due to karma, are merely apparent, not real. More precisely, they have a conventional (vyāvahārika) reality only, not an ultimately true (pāramārthika) reality.

I do not believe that these considerations invalidate Vādirāja's rebuttal. For the fact still remains that the jīva experiences pain. Whether the pain is imaginary or not is irrelevant, for an imagined snake causes as great a fright as a real snake. And what does it mean to say that the jīva does not *really* suffer, but may be said to suffer 'as far as the phenomenal world goes'? I know of no distinction between *suffering* and *seeming to suffer*: who has ever *seemed* to suffer who did not *really* suffer? Suffering is of its nature a subjective state, and thus to make a distinction between 'objective' suffering and 'subjective' suffering is invalid, for there is no such thing as 'objective' suffering: it is, to use the Indian idiom, a hare's horn. It is invalid, therefore, to hold that the soul does not *really* suffer but only *seems* to suffer, as Śaṅkara holds. We are in the end left with the fact of suffering and the fact of a sufferer. And since according to Śaṅkara this jīva (the 'seeming' sufferer) is really just the Ātman, and since the phrase 'seeming suffering' is at best redundant and at worst unintelligible, it is pure legerdemain to hold any view, given

Śaṅkara's non-dualist presupposition, but that the Ātman itself *really suffers*. This inescapable conclusion is exactly what Vādirāja has been trying to pin on his non-dualist adversary all along.

I see no legitimate way out for Śaṅkara and non-dualism. Their only escape turns into a *cul-de-sac*: 'imaginary suffering' turns out simply to be suffering. And this suffering, though facilitated by the antaḥkaraṅa, is not the antaḥkaraṅa's; obviously then it is the jīva's, which is to say it is ultimately the Ātman's, which is to say it is Brahman's. So Brahman, whose nature, according to non-dualism, is pure, undifferentiated bliss-consciousness, has turned into a sufferer: the *reductio ad absurdum* is complete.

In summation, it will not help matters to point to the limiting adjuncts (antaḥkaraṅa, buddhi, etc.) as the sufferers; causes of the suffering they may be, but they are not to be confused with the actual subject of the suffering. Nor will it do to say that whereas the jīva suffers, the Ātman does not; for Śaṅkara makes it clear that the jīva is ultimately the same entity as the Ātman. Nor will it do to speak of the jīvĀtman's suffering as 'imaginary', for the reasons just elaborated. Nor again will the Buddhist 'solution' suffice. Might there be some *tertium quid* then which suffers? Śaṅkara nowhere advances such a notion for our consideration; what first looks like a halfway-house between Ātman and antaḥkaraṅa, namely jīva, is ultimately identified in the clearest terms with Ātman. Śaṅkara, it is finally clear, has left himself with no *vehicle* for the suffering. It is no wonder he termed suffering 'imaginary'. Unfortunately for his philosophy, however, he is completely incapable of finding a vehicle even for this 'imaginary' suffering. Unless of course it is an 'imaginary' person. But such language trails off into the grey twilight of unintelligibility. Or would some call it, as a last resort, the high noon of mystic brilliance? I do not believe that great mysticism is a legitimate warrant for bad philosophy.

But the title of this work contains a question mark. It may be, who can tell?, that some day I too will 'understand' Śaṅkara, as a few no doubt would say I at present do not. At the moment, however, I am inclined to look at many of those who champion Śaṅkara as themselves failing at that task.[1] But I say this only of those Śaṅkarians who think that Śaṅkara's philosophy is *rationally* sound. With those who see him as a mystic writing in a philosophical guise I have no quarrel. I can only be pleased at Rudolf Otto's understanding of Śaṅkara when he writes that Śaṅkara's concern was 'not metaphysics but a doctrine of salvation'.[2] Otto no doubt overstates his case – for Śaṅkara did not separate the two- but it is clear what Otto is driving at: Śaṅkara's *Brahma-sūtra-bhāṣya*, his major work, ideally should not be read by a philosopher philosophically but by a mystic mystically. The philosopher (and I am talking about the rational analyst), if he is rigorous, will go away disappointed, while the mystic – and I am really talking about the mystic in each of us – will feel that he has been in communication with someone who has *met* the truth even when he has not understood it. What irony there finally is in all this! The dualist, who has better *understood* the truth, gives the impression of not having *met* the truth as directly as the non-dualist with his untenable metaphysics ! But that is for another day.

[1] B. N. K. Sharma calls Vādirāja, who wrote a monumental defence of the Dualist Vedānta in a work called *Yuktimallikā*, 'the most popular and enthusiastically applauded writer in Dvaita literature' *(A History of the Dvaita School of Vedānta and Its Literature*, n [Bombay: Booksellers' Publishing Co., 1961], 192).

[1] See M. K. V. Iyer, *Advaita Vedānta According to Śaṁkara* (Bombay: Asia Publishing House, 1964), pp. 117–18.

[2] See Śaṅkara, *The Vedānta Sūtras of Bādarāyaṇa with the Commentary of Śaṅkara*, trans. George Thibaut, 1 (New York: Dover Publications, 1962), 1960.

[1] None of Vādirāja's many works has been translated before. His corpus is a goldmine for the Sanskritist with philosophical interests. I have translated only the first section (or 421 verses) of the *Nyāyaratnāvalī*.

[2] Naraka, usually translated 'hell', is one of the devices by which souls which have led wicked lives are justly punished. As in Christianity, it is popularly regarded as a fiery place where the guilty are tormented. Most Hindus, however (and Vādirāja's own school is a notable exception), regard hell as temporary – really more of a purgatory than a hell.

[3] *Bṛhadāraṇyaka Upaniṣad* 4.1.7, in S. Radhakrishnan, *The Principal Upaniṣads* (London: George Allen & Unwin Ltd., 1953), p. 252.

[1] See Surendranath Dasgupta, *A History of Indian Philosophy*, II (Cambridge: Cambridge University Press, 1932), 76–7, for a detailed explanation of the relation of consciousness to antaḥkaraṅa.

[2] Actually Vādirāja asks the non-dualist to consider whether a man or an *arrow*, not a can, is able to suffer. But since the verse in Sanskrit is especially effective because *narāṇām* (men) and *Śarāṇām* (arrows) rhyme, I have rendered the rhyme rather than the literal meaning into English.

[3] K. Narain, *A Critique of Mādhva Refutation of the Śāṁkara School of Vedānta* (Allahabad: Udayana Publications, 1964), p. 71.

[1] *Ibid.* p. 73. See Dasgupta, *Indian Philosophy*, iv (1949), 236, for a shorter exposition of the same argument, and p. 243 for a non-dualist counter-argument.

[1] Non-dualists often speak of '*the* buddhi', by which they usually mean the willing or affirming capacity of the mind. At other times they speak of '*a* buddhi', by which they mean a momentary particularization of the buddhi; in this sense, Dasgupta tells us, '*Buddhi*, or intellect, means the mental *state* [italics mine] of determination or affirmation (*niŚcayātmika antaḥkaraṅa-vṛtti*)', and is synonymous with the better known *antaḥkaraṅa-vṛtti*, or 'mental modification' (*Indian Philosophy*, n, 75).

[2] Śaṅkara of course holds that the soul is ultimately all-pervading and infinite, for it is ultimately only the Ātman.

[1] *An Introduction to Śaṅkara's Theory of Knowledge* (Delhi: Motilal Banarsi Dass, 1962), p. 101.

[2] *Ibid.* pp. 101–2.

[1] The position that Vādirāja is attacking here resembles Nāgasena's in the *Questions of Milinda* (see Lucien Stryk, ed., *World of the Buddha* [New York: Doubleday & Co., Inc., 1969], pp. 89–99).

[2] *Advaita Vedānta*, p. 117.

[1] Śaṅkara, *Commentary*, 11, 64.

[2] *Ibid.* 1, 379, 381.

[1] 'There is a general belief amongst many that monism of Śaṅkara presents the final phase of Indian thought…But the readers of the present volume… will realize the strength and uncompromising impressiveness of the dualistic position' (preface by Dasgupta, *Indian Philosophy*, iv, viii).

[2] *Mysticism East and West* (New York: Macmillan, 1932), p. 33 (title of chapter 2).

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Hindu Doubts About God: Towards a Mīmāṃsā Deconstruction

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I. INTRODUCTION[*]

THE COMMON VIEW is that Hindu philosophy is committed to one of the conceptions of the Transcendent: whether understood as Brahman (the Absolute) of Vedānta metaphysics; or as *Īśvara*, in one of his triune forms of Śiva, Viṣṇu, or. Brahmā of the sectarian traditions; or as Śakti, an exclusively feminine divinity, such as the terrifying Goddess Kālī of the tantric sects; or perhaps as the divinely sacred offspring, such as the elephant-headed Ganeśa and his brother Kārttikeya. And there are, of course, colorful variations to this wondrous theme, with a profusion of images in the vast pantheon of Hindu gods, goddesses, *avatāras*, partial divine embodiments, and so on. Understandably, then, scholars have attempted to encompass the bulk of Hindu beliefs variously under one of these categories: polytheism, organized polytheism, pantheism, panentheism, henotheism, monotheism, monism, non-dualism, or, even more puzzling, all of these somehow wrapped into one (hence the ubiquitous "Oneness"). By and large, it is assumed that Hinduism progressed from a primitive polytheism (in its pre-Aryan, earthy roots) through henotheism (In Ṛg and Atharva *Vedas*) and monistic

idealism (of the *Upaniṣads*), towards a form of monotheism, which the vast majority of Hindus are apparently seen to espouse.[1] Not so well known, partly because of its neglect by Orientalists, is a contrary position that moves away from all such conceptions, and which could also be said to reject "God-talk" altogether; indeed, here we come rather close to atheism (even "*a-theolo-gie*") in the Hindu tradition. This is not merely a whimsical sentiment which could be perfunctorily dismissed as an aberration within the tradition. There seems to be an argument for this contrary position, or at least arguments against those whose theological discourse might persuade them otherwise. In general terms, let us say that there is scope within Hindu philosophy for an articulated critique of all theologies, resulting in the expression of profound doubts about the reality of a supremely divine being, and about the absolutes of metaphysics.

The term "Mīmīmsī," signifying an exegetical-hermeneutical enterprise and synonymous with the system or school known by this name, is associated with this critique or doubt; I say "doubt" and not the stronger "skepticism" associated with Buddhism, and later with Hume in the West, for reasons that will become clearer in the discussion. To hint at it just a little, I believe the Mīmāmsā was predisposed towards a deconstruction of "*onto-theo-logos*" of the kind that had emerged from within the broad Indian tradition, but did not develop this into a rigorous program, except to suggest its bare outline.

II. MĪMĀṂSĀ AS *ĀSTIKA*

1. *Āstika* versus *Nāstika*

The Mīmāṃsā is one of the six major "orthodox" schools (*darśanas*) of Hindu philosophical theology. The term used in the

tradition for "orthodoxy" is *āstika*, and it is contrasted with *nāstika* or "heterodoxy," or better still, "non-ortho-dox."

Much debate in Hindu theology centers around whether a particular view or system of thought is *āstika* or *nāstika*. The assumption in the tradition is that to be an *āstika* one must, at the very least, affirm the supremacy of the Veda, the scriptural canon that sets Hinduism apart from all other religions. The corpus of Veda, or *Vedas*, is collectively characterized as *śruti*, "that which is heard" (i.e., having been transmitted orally from many generations past). The Veda constitutes the primary "revelatory" tradition of Brahmanical Hinduism. A secondary or derivative source is characterized as *smṛti*, the "recollected." Those who deny the validity of the Veda are by definition *nāstikas* (literally, not of *āstika*) and comprise, in the broad Indian philosophical tradition, the materialists Cārvāka or Lokāyata, the Ājīvikas, the Jainas, the Buddhists, and an assortment of sophists, skeptics, agnostics, and detractors from the Veda.[2] The Jainas and the Buddhists, in particular, based the authority for their particular beliefs entirely on sources that would be regarded (by orthodox Hindus) as inimical to the authority of the Veda.

2. The Mīmāṃsā as *Āstikas*

The Mīmāṃsā invariably regarded itself as firmly rooted in the *āstika* or mainstream orthodox tradition. Moreover, later Mīmāṃsā followers (post-sixth century C.E.) set out to revive and revivify the *āstika* tradition by giving prominence to Vedic *sādhana* or praxis, which was thought to have waned during the height of Buddhist influence in India. The Hindu sectarian renascence, already gaining strength, was taken advantage of by the Mīmā ṃsakas (followers of the Mīmāṃsā). Although the Buddhist University of Nālanda was still

flourishing and there were skilled Buddhist dialecticians around, certain other factors, possibly internal to the Buddhist community, are said to have contributed to the gradual decline of Buddhism after Nāgārjuna's palmy days (c. 150 C.E.).[3]

The Māmāṃsakas appealed to moral arguments in order to discredit the credibility of Buddhism. Was it, however, necessary for the Mīmā ṃsakas to reclaim the territory of Hindu *Dharma* or "Law" with assertions or arguments in favor of belief in God? It seemed not. What concerned them most was that the Vedic culture had been eclipsed.

Kumārila Bhaṭ ṭa was perhaps the foremost among the Mīmāṃsā revivalists during this period. He lived in the seventh century (some say 590–650 C.E.; others 600–700 C.E.)[4] and was probably a contemporary of the great Buddhist dialectician Dharmakīrti.

While defending the orthodoxy of the Mīmāīsā, Kumārila was moved to complain that the Mīmāṃsā had, by and large, come to be looked upon as a "heretical" system. To the question "How so?" Kumārila replied that the Mīmāṃsā had been reduced to the status of Lokāyata, or Cārvāka-*darśana*, the system of naturalistic materialism with its patently hedonistic ethic.[5]

Kumārila wanted to resist the incipient tendency to associate the Mīmāṃsā with some form of debased belief in a "this-worldly" reality, and hence to reject identification of the prevalent materialist-naturalistic system(s) with the school he led. Should this, however, be taken to mean that Kumārila wanted to assert or reassert belief in an "other-worldly" reality, such as a supra-natural order or a supremely transcendent being? No. It seems that his only concern was that the Veda should not be maligned with some corrupt form of naturalism that bordered on materialism and hedonism. (Perhaps he would have been less concerned had Mīmāṃsāka been called "a realist who

swears by the Veda"!). In order to regain orthodoxy for Mīmāṃsā, Kumārila had to elevate the status of the Veda (*śastras*) and make its authority unassailable.

There were two possible ways of rescuing the orthodoxy claimed by the Mīmāṃsā: (a) by attributing the source of the Veda to a supreme divine being, whose very omniscience and omnipotence would sanction the authority of the scripture—this source would be necessarily personal, or *pauruṣeya*; or (b) by attributing the Veda to a beginningless and timeless body of "authorless words," with its own fixed or "originary" (*autpattika*) relation between the words and their meanings—this source would be deemed *apauruṣeya*, non-personal or, perhaps, "*trans-personal*." Kumārila chose to assert the latter because he regarded the *śruti* as beginningless and authorless. That is to say, the teaching of the Veda is without beginning, for in its present form the scripture stretches backwards through the uninterrupted succession of teachers and students to the very beginning when it was given along with the universe and subsequently "seen" or "heard" by the primordial "seers" (*ṛṣis*). The Veda as such is without an author, human or divine; moreover, were it authored it would of necessity be flawed by the author's imperfections, and its authority thus diminished. It validates itself insofar as it is the sole source of knowledge about matters that extend beyond the senses.[6]

Thus the Veda was there from the beginning of the manifest universe and remains independent of the will or authorship of a transcendent being or God. God who might be conceived of as the original source and author of the Veda is thereby unnecessary; or He is necessary only for revivifying the lapsed or lost "self-revealing" scripture. Hence, a "divine revelation" as ascribed, say, to the Judaeo-Christian scriptures is ruled out.

Accordingly, *atheism* seems to be a distinct possibility. Is this the Mīmāṃsā position? If so, how tenable is it within the *āstika* frame of reference, and is it consistent within the received Hindu tradition?[7] Is it coherent on other accounts? Our discussion will be confined to the first two questions.

III. THE CONTRARY POSITION

Ganganatha Jha is most forceful and consistent in his examination of the claim under dispute. He refers directly to Kumārila's texts:

> Kumārila's views with regard to God are found in the *Ślokavārttika, Sambandhākṣe-paparihāra* chapter. He also denies the creation (*śloka* #47) and dissolution (#68) of the universe as a whole (#113); he bases his denial of the creator on the same grounds as that of the 'omniscient person' (#47–59, #114–116).[8]

Let us see how Kumārila develops this critique.

1. Kumārila Against the Cosmological Argument

First of all, Kumārila considers some circumstantial evidence that might support the view of the creation of the world. Some schools are of the opinion that the universe is subject to a periodic process of creation and dissolution attributed to the personal God, known in Vedic literature as Prajāpati. Kumārila, however, takes a rather skeptical stance on such claims. (Indeed his form of skepticism might remind one, but only just, of David Hume.) He sets up the following questions:

> At a time when all this (earth, water, etc.), did not exist, what could have been the condition of the universe? As for Prajāpati Himself, what could be His position? and what His form?

And at that time (when no men existed) who would know Him and explain His character to the later created persons? (If it be held that He cannot be perceived by any man, then) without perception (or cognition of some sort, by some person), how can we determine this (fact of His existence)?

Then again, in what manner do you believe the world to have had a beginning in time? (If it be held that it is brought about by a desire on the part of Prajāpati, then) since Prajāpati is (held to be) without a material body, etc., how could He have any desire towards creation?

(Ślokavarttika, = SV, Sambandhākṣepaparihāra, = s; #45–47)[9]

Evidently, what worries Kumārila is that we cannot have any notion of what the world was like prior to the supposed creation and how it actually came about. For what could the beings who first appeared understand? What kind of cognition could they have had to record these events? Could they have understood from where and how they had suddenly come about, and what the state of things were prior to the creation? Could they even have understood that Prajāpati was the creator (SV s#58–59)? At best we can make inferences on the basis of and in analogy with what we know now; but it is questionable whether we can infer from such "evidence" anything about the state of the whole universe in some remote past.

Kumārila reasons that in order to create a material and corporeal world, either there has to be some pre-existing substance from which the creation is possible, or Prajapati has a material body which is not eternal and out of which he creates or "emanates" the world. (We are here reminded of the classical Western maxim: *ex nihilo nihil fit*.) In either case, one would have to explain Prajāpati's coming to obtain such a body, or else accept the prior existence of material substance or matter. In the latter case, we would have to explain the origin of

matter, or postulate another creator or universal cause responsible for this, and yet another for this, *ad infinitum* (SV s#48–49, #73 and comm.). Alternatively, if Prajāpati has a body that is not created, then this too would have to be explained, for "His body too must have had a beginning, inasmuch as it is also a body, like ours (made up of constituent parts)" (SV s#77). Suppose that God's body is *causa sui*. That is, God is the ground of his own body, which is therefore essentially uncreated. Kumārila again would want to question the essentialism implied here in regard to corporeality. Besides, if God's body were uncreated, why can we not assume that of ourselves, since we also have corporeal bodies: "If His body is everlasting, ours must also be everlasting."[10] The commentator considers this consequence to be absurd.

More seriously, Kumārila expresses concern that even if we were to assume that the world had its origin in God's all-powerful desire or "will" to create the world, given that the world has a material (constituent) nature and has to be brought into being and manipulated somewhere in the process, this would require a more rigorous explanation than has been forthcoming. In other words, how can an eternal God be said to possess a non-eternal body, as would be the case if the world were formed or born from it? Would not a perfect God degrade Himself by working with or through a transient body? One might say in reply that God has full control over the world-body by virtue of His intelligence, will, etc., just as a potter does when he produces a pot. But this analogy of the potter using his intelligence to form or mold a pot does not hold, for the potter does not have full control over the constituents of the pot, namely, the clay, etc., let alone over his own body. Thus this analogy does not help explain "creation" as we are to understand it (SV s#74, 78). Further, if "control" by intelligence were all that was necessary, then we could say as well that the collective intelligence of all sentient

beings through their action brings about creation. What then would be so splendid about God's intelligence and action in relation to what we are also in contact with, i.e., our own minds? In any case, the superintending function of a supra-natural intelligence is not established (SV s#74–76).

Kumārila is, in part, addressing the cosmological argument of the Nyāya rational theists. But Kumārila might have missed some of the subtleties of the reasoned arguments and causal assumptions which the Naiyāyikas (followers of the Nyāya) came up with. The Nyāya relies on inference (*anumāna*) believing that it is possible to have knowledge of things which can never be perceived or directly known, on the basis of our knowledge of the class of things already known or knowable through direct perception.[11] God is the extreme case of the unknown. A simple inference is formulated on the basis of an analogy of the agency involved in the creation of a piece of art, or a pot from clay; the appeal is to causality, since agency is one form of causality. In most general terms, every finite cause (i.e., every cause of which we have experience), whether formal, material, final, or efficient, entails an agency or an efficient cause to bring it about.[12] As in the production of a ceramic, the clay is shaped on a revolving wheel, and the kneading of the clay as well as the motion of the wheel is traced back to some person, viz., the potter. The argument is in respect to the *kāryatva* or being-an-effect, which is causally linked to an agent. (The possible infinite regress argument involved in this was not crucial to the Naiyāyikas, so we shall ignore that.) Uddyotakara (500–600 C.E.) developed some initial arguments hinted at in the early Nyāya treatise of Gautama (?200 C.E.). Uddyotakara's formulation runs something like this: the different things in nature (*physis*) such as grass, shoots, earth, etc., must have an agent just as manufactured things (*technē*) such as pots, cloth, etc. have an agent,

which in the case of the pot is the potter. And the cause of the natural effects, such as grass, earth, etc., is God.

Centuries later, Gaṅgeśa (1300–1400 C.E.), the founder of the Navya-nyāya or "new logic" school, took up the simple inference (*kṣityādi sakārtṛkaṃ karyatvat ghaṭavat*), unpacked it into its (four) constitutents parts, considered and examined its possible reformulations, and wove an extremely sophisticated defense of the inference, answering all possible objections raised against the validity of the inferential process involved. He offered his own formulation based on a complex reasoning by parity and concluded in favor of the existence of God, the omniscient Being who knows and directs the beginningless flux of atoms, dyads, triads, and the "unseen effectuality" (*adṛṣṭa*), and who through his all-extensive desire creates the world.[13]

Basically, what the Nyāya position argues is that "being-an-effect," as in the case of pots, extends to the world as well; that "having-an-agent" likewise applies to both, since it clearly is the case with (the) pot; and to state otherwise would be contradictory.[14] But God, in this view, does not have to produce through his bodily activity or agency each and every particular thing, nor does God have to promulgate every effect that we see and experience in the world. It follows that God does not have to possess knowledge of the particulars or be the direct cause of their existence. God is the formal and universal efficient cause (invoking the rule that the cause of the universal is the universal), and there are other finite efficient and material causes that bring about the particular things and events as there are in the world. Thus God depends, in part, on human effort to create the world. In other words, God knows the motive and general principles involved in the production of things in the world, but He does not actually involve Himself in the process: He has, as it were, a remote telic and instrumental control over the world.

God indeed works in mysterious ways. In the final analysis, however, the God of Nyāya, since He does not create the world *ex nihilo*, or out of His own body as a spider spins a web from its bowels, is reduced to something like the demiurge of Plato, who as architect forms the world out of a pre-existing set of conditions and substance (viz., by causing the atoms to come into mutual contact), maintains a continuous relationship with the universe as its preserver, and dissolves the world when conditions require it to be dissolved. This is as far as the cosmogonic necessity of God can be taken.

Again, the Mīmā ṃsakas reply is unequivocal: if the basic substance of the world is not created by God, then how does God's desire move the insentient substance (atoms, etc.) to organize itself into creation (SV s#81–82)? Does He engage in some sort of activity? And how does God manage this without a body? What kind of "agency" is involved (SV s#82–83)? If God is the First Mover, who moves God? Could we still say that He is the "creator" God, even if He were known in form (SV s#58)? Presumably, we are speaking of something far beyond the scale of operation involved in the potter making his pot, the clockmaker his clock, or the spider spinning a web from within its body, or even the acorn generating the oak tree.[15] At this point, something like the Humean crunch comes in as Kumārila concludes: "There the theory of Creation and Dissolution must be admitted to resemble the every-day processes (of production and destruction); and any particular idea of these with regard to the production and destruction of the whole universe cannot be established, for want of proofs" (SV s#113). The reasoning here is that a mere logical possibility does not establish a necessity with any certainty.

We are here reminded of Hume's *Dialogues Concerning Natural Religion* and the doubts that he expresses through Philo in taking

"operations of one part of nature upon another for the foundation of our judgement concerning the origin of the whole (which never can be admitted)."[16] That is to say, the doubt is with regard to taking empirical instances, such as a clockmaker making a clock or the organic processes of plants and animals, as models for the principles governing the planets and the universe at large. We have not witnessed another universe being created, as we see clockmakers making clocks, potters creating pots, etc.; thus no parallels can be drawn here. And from limited conjunctions in our relative field of experience, we cannot go on to generalize about the process or origin of the order and structure of the universe as a whole. The analogies and reasoning the Nyāya has advanced, while they may be suggestive of a logical possibility, provide only weak justification, and in themselves, Kumārila argues, lack the force to convince one that such is necessarily the case, namely, that the universe as a whole has a cause.[17]

Further, from a finite world of experience we can infer only finite "origins" and contingent causal connections; the ramifications of this inference will, how-ever, not be acceptable to the theist. This attitude of skepticism is based, in part, on the recognition of the limitations of human reason, in particular of inferential reasoning, and on grounds of evidence which tend to suggest otherwise (e.g., the forest on a marooned island had no conscious agent as its cause, unlike the tree in my suburban garden). Kumārila therefore pronounces: "It is not at all necessary for people who are conscious of their bodies, to have an idea of Creation and Dissolution, beyond (their own bodies), with regard to the whole universe."[18]

The major logical grounds for Hume's doubt about causality, for which he is most famous, were not articulated with the same philosophical rigor by the Mīmāṃsakas,, who were nonetheless predisposed towards a healthy doubt about personal agency that

extends beyond the immediately experienced world. To be sure, they "play safe" on the larger issue of causality, for too radical a criticism of causality would undermine the Mīmāṃsā's own commitment to a more abstract principle of causality—indeed, impersonal agency—as is implied in their doctrine of *apūrva* or "unseen potency," and certainly in the law of *karma* (where Hume and all Indian skeptics, including the Buddhists, part company). The Mlmamsakas chide the Nyaya for its admission of the *adṛ ṣ ṭa*, the "unseen effectuality," which is said to be the repository of *dharma* and *adharma* (merits and demerits), and which is also effective in the delivery of "goods" of the world, and of liberation. What need is there, then, for a superior sentient agent? The earlier Vaiśeṣika ("atomist" school, whose developed ontology is largely adopted by the Nyāya) was content to explain the unity and functioning of the world on the basis of the interaction or fusion-effect of the uncreated atoms (substance) and souls (desire) and the principle of *adṛṣṭa* (efficiency), thereby ruling out the necessity of God. *Dharma*, by the same token, circumscribes the impersonal moral component of the universe.

2. The Moral Argument

There is, however, apart from the appeal to causality, another reason that some Naiyāyikas found persuasive for inferring the guiding hand of God. This amounts to a moral argument, namely, the necessity to account for the dispensation of the fruits of actions, which result from people's previous merits and demerits. Unless there were an all-knowing divine and intelligent agent, how could we conceive this to be possible? Surely, as we have just remarked, the Nyāya believes that actions create the unseen effectuality (*adṛṣṭ*), much like the *apūrva* of the Mīmāṃsā, but that in itself this is an inert property which continues into the life hereafter. Uddyotakara therefore reasons: "The same argument holds good here also: the

merit and demerit of the dead people need to be activated by an intelligent agent. Only being activated by an intelligent agent, do the elements (earth, fire, water) up to air operate in their respective functions, like holding and so on."[19] In other words, there has to be a superintendent being such as God who arranges a person's rebirth and dispenses the appropriate results in the new-born body.

The Mīmāṃsakas bring two objections against this argument, while agreeing with the Nyāya that in the absence of actions of human beings there would be no *adṛṣṭa*, and hence no result or fruits. First, why would God, who is supposed to be impartial to all creatures, act in such a way as to bring about disproportionate fruits? Why would a kind and loving God allow such an iniquitous situation? If *dharma* (as merits and demerits) were absolutely under His control, why should there be pain (in the world) (SV s#82–83)? If on the one hand the activity of the world were to be dependent upon (i.e., regulated by) these (*dharma*, etc.), then this would entail accepting something else (i.e., an agency other than God's desire). But this would also deprive God of His independence. If on the other hand we accept God's will or desire, this would undermine the law of *karma*; that notwithstanding, God's will still must have a cause (if it is to activate *dharma-adharma*). In that case, the *adṛṣṭa* might as well be accepted as the cause (of everything) (SV s#72–73). Again, as Hume would later put it, since there is so much pain and suffering, we have to assume either two world-powers, one working for good and the other for evil, or else a single morally neutral creator.[20]

Second, asks Kumārila, is it so very inconceivable that people's own actions could directly bring about the results? Is not the law of *karma* a sufficient postulate to explain the process of dispensation? And if the law of *karma* is inexorable, then what is the place and necessity of God? Or, alternatively, if God is so powerful, can He not annul that law (SV s#53, cpmm.)? Moreover, if there were some end

absolutely essential to be achieved, could not God achieve this without needing to create the world, a world in which He is then said to destroy (SV s#54, 57)?

Some Naiyāyikas respond by suggesting that God merely creates the auxiliary causes by which individual dispensations take place, so that God does not have to attend to and deal with each and every individual action or the unseen. Or, as Newton might have said, God does not move His "hidden hand" or directly intervene each time an apple falls; the law of gravity, which God built into the universe, takes care of that. Presumably, the Naiyāyikas might concede that there is an autonomous and inexorable operation of the law of *karma*; they are, however, also quick to point out that God is both above merits and demerits (*dharma-adharma*) and that the law of *karma* is subordinate to God. That is to say, it is only when God activates the merits and demerits of the individual souls that the just reward to each soul is meted out.

The standard Mīmāṃsā rebuttal of the last position is that if a soul cannot direct its own merit and demerit, neither can God, who is simply another soul (in the Nyāya view), do it. Kumārila also doubts that God can "perceive" merits and demerits and that He has any contact with bodies in which these are located. Kumārila rules that it is unparsimonious to postulate an agency beyond the "unseen" to account for the dispensation of rewards, etc. Furthermore, it is possible to explain that the world itself comes about as a result of the meritorious and the unmeritorious deeds of the eternally existing individual souls. Actions of people produce *apūrva*, and it is this unseen potency that is effective in bringing about things through which the fruits are enjoyed, etc. This aspect of the cosmogony is not developed by Kumārila, although this appears to be the accepted account of the Mīmāṃsā's doctrine of "continuous creationism" (namely, that the proposed theory must be consistent with the

everyday processes of becoming and disappearing; cf. #113, cited earlier). Kumārila reinforces this by remarking that "we could only admit of a gradual process of creation, such as we see in the case of present living beings (creating the jar, etc.)."[21]

3. The Problem of "Evil"

To diminish the Nyāya moral argument for God's role in the creation of the universe, Kumārila once again invokes the perennial "problem of evil" and takes it a step further in order to discredit the existence of the supposed (benevolent) Creator. To Kumārila the Nyāya account appears incoherent in light of the problem it creates in regard to the qualities attributed to God. He thus asks:

> Then, again, in the first place, how is it that He should have a desire to create a world which is to be fraught with all sorts of troubles to living beings? For at the time (of the beginning of creation) He has not got any guiding agencies, in the shape of virtue (or sin) etc., of the living beings themselves.[22]

If one were to insist that God created the world, then God would have to bear the blame for the "evil" that exists in the world. Would any conception of God as the all-loving and omnipotent being countenance such a fundamental discrepancy? This indeed is not an uncommon argument used for denying—or at least for casting serious doubt upon—the existence of the Creator-being in other, non-Indian, skeptical and philosophical traditions, as we have already noted in the work of Hume. The disconcerting problem in the MImamsa or the broadly Indian discourse was not so much with (what elsewhere has been termed) "evil," as with the overwhelming fact of pain and a life of disproportionate adversities or suffering (*duḥkha*), and the cyclical recurrence of death after death (*saṃsāra*).

The Buddhists had added further weight to this perception and developed it with much greater analytical rigor.

Kumārila next considers the suggestion that God or Prajāpati might have created the world out of pity. He is puzzled by this suggestion, and wonders for whom would God have had pity or compassion in the absence of beings (prior to creation) (SV s#52)?

Now if God were so moved by sheer compassion (for whomever), why did He not create either just happy beings or an everlasting happy world? Was it so beyond His will not to create a world of miserably painful creatures?[23] It did not, however, occur to the Mīmāṃsaka that God could have created a world in which pain and pleasure, good and bad (or "evil") are finely poised in an equilibrium which human striving attempts ultimately to transcend and be liberated from. Indeed, the Nyāya, and to an extent the Vedānta, seem to have espoused such a position; not so the Mīmāṃsā. And, of course, the cause of suffering may well be attributed to the sheer folly of humans who fail to recognize or adhere to God's moral plan. Besides, suffering could have its roots in the illusion-making power (*māyā*) people have been loathe to shun. God, all things being equal, has the best of intentions—or maybe in His infinite wisdom He remains indifferent to human suffering, for He has made the best of all possible worlds.

Perhaps, ponders Kumārila, God created the world merely for His own amusement or "play" (*līlā*), as the Vedantins say and as it is often narrated in folklore and mythology. To Kumārila's way of thinking, however, such a God would then only be an incredibly selfish being, calling down upon Himself a good deal of trouble and questioning.[24]

This, then, would not only contradict the theory that God is perfectly happy, but would involve Him in much wearisome toil.

Kumārila does not believe it conceivable that there could be a supremely compassionate God who would create a world full of pain and adversity merely for "sport." But if amusement were God's intention, then, again, Kumārila cannot see how God could be said to be self-fulfilled and infinitely contented.[25] One supposes that here Kumārila is questioning the claim to perfection in God, who nonetheless must resort to an imperfect creation to find lasting fulfillment. Kumārila wonders why any theory would want to ground itself, and its God, in such contradictory positions. If any artist's creation were to be marred by imperfections, how would he or she claim to be perfect!

Against those who claim that God creates and then after many millennia of normalcy (*yugas*) destroys or brings about a dissolution of the world—a culminating process known in Hindu cosmogony as *pralaya*—the Mīmāṃsaka un-leashes the scurrilous charge that this entails an awful suicidal tendency on the part of such a God (SV s#68 and comm.). It is beyond Mīmāṃsā logic why the good God would wish such a universal dissolution, any more than the leader of a kingdom would condemn his entire citizenry to the gallows in order to rid the kingdom of thugs and robbers.

Perhaps what this shows is the Mīmāṃsā's reluctance to take seriously analogical thinking, whatever its limitations, and to consider how we might begin to understand that which extends beyond ordinary human experience. The Mīmāṃsaka was undoubtedly a stickler for not going beyond the immediately given, and in some ways was more positivist than the modern-day positivists. The irony, though, is that the Mīmāṃsā had no qualms about accepting the idea of *apṭrva* or the "unseen potency," attributed as it is to human action, and which seems to work with the same degree of automation as does the complex system of switches and signals used for controlling the operation of space shuttles. The reality of *svarga*,

the heaven-like "kingdom of ends," is another of Mīmāṃsā's commit-ments, as also is the belief in the eternity and plurality of individual souls. Surely, on such matters, the Mīmāṃsā displays a distinct non-naturalistic tendency and appears to rest its faith on what goes beyond the perceptible. In themselves, however, these "imperceptibles" are not the class of "trancendentals" as any standard theistic system would wish to suppose. The "world beyond," or the "other-worldly" reality, is not something removed from the bounds of human reality. Even the gods or deities who are invoked in ritual sacrifices as "witnesses" to human offerings do not fulfill the function that God fulfills in, for instance, the Nyāya view.

4. Evidence in the Veda

Could scripture be the grounds for establishing the existence of God the Creator? Some, especially the Naiyayikas and the Vedāntins like Rāmānuja (*Śribhdsya on BS* I i 3), argue that the assertion about God's creation is to be read in the Veda itself. The scripture further speaks in one voice of the creation of the world and the Veda. Indeed, *Rg Veda* X.90.9 appears to speak of the Veda as having originated from the Primordial "Man" (*Puruṣa*) in a cosmic sacrifice orchestrated by the gods. The *Upaniṣads*, notably the *Muṇḍḍaka* (II. 1.4), speak of the Veda as having emanated from Brahman. Again, the *Brāhamaṇas* attribute the emergence of the Veda to the gods, namely, *Agni* (Fire), *Vāyu* (Wind), *Āditya* (Sun). Elsewhere, Brahman is described as having "breathed forth" (*niḥśvasita*) the Veda (*Bṛhadaranyaka Upaniṣad* II.4.10, IV.5.11). Most impressively, the *Īśa* (I.i) and *Śvetāśvatara* (VI. 18) *Upaniṣads* speak of the pervasiveness of the Supreme Lord, who gave the Veda to Brahma (himself looked upon as the "Creator" aspect of God).

The Mīmāṃsaka, again, dismisses such claims with more than a touch of cynicism, for he considers the passages to be unreliable. Rather, these are to be interpreted metaphorically because they fall under the category of *arthavādas* or auxiliary statements, whose explicit purport is to eulogize and praise the central theme of the primary ritual text (*vidhis*). But there is another reason why they might be thought to be unreliable—as we shall mention shortly. But it seems odd that a Mīmāṃsaka would declare the Veda to be unreliable. If the Veda is untrustworthy, one might then ask, how could the Mīmāṃsā sustain the claim that the Veda is infallible? The following response, which by any standard would seem to be pretentious, is made: "... because even though He may not have created the world, He might *speak* of having done so, in order to show off His great power."[26]

Commenting on this disavowal, Pārthasārathi Miśra is quick to point out that it is not at all the intention of his master to admit to the existence of God; rather, such an assertion about God and so on is to be expected in a (sacred) narrative. Thus the *Mahābhārata* and the *Purānas*, the literature from the *smṛti* tradition, fondly speak of creation emanating from Prajapati. But such "story-telling," argues Kumārila, is to be construed as being secondary to the primary intention-ality of the text, whose basic aim is to coax the individual towards proper action, rightful duty, and a morally compelling "form of life."[27]

In such a minimalist reading of the text one need not assume the intentionality of an "intelligent being": the text speaks for itself, it has no precursor other than another text; and it contains within its linguistic structure the potentiality (*śab-daśakti*) for its own hermeneutics. Where the text appears to make reference to an author, it does so by way of narrative device, which, however, is not central to its' primary thesis pertaining largely to injunctions about

duty. Thus, since none of these references to creation is contingent upon the agency of an external intelligence, or a "first stirrer," there is little need to accept the creator God. Consider also that, on the one hand, had the scripture come after creation, then it could not have recorded any impressions at the moment of creation, and hence such knowledge would have to be secondhand. If, on the other hand, the scripture preceded creation, then its utterances on creation would be *a priori* (SV s#61–62). What if the scripture was created with the universe? Kumārila might reply that this is an instance of yet another myth-making story intended to distract the believers and detractors alike.

God, then, on the accounts considered above, does not appear to the Mīmāṃsā to be a very useful postulate for explaining the creation of the world and the workings of the destiny of each human being. People's action through the instrumentality of the *apūrva* is responsible for the coming-into-being of the world, and so there is no need to suppose that this process has to be controlled and regulated by any supernatural (personal) agency. Rather, the laws of action-retribution, of sacrifice-result, of duty-reward etc., operate, as it were, automatically, autonomously, and inexorably, as do the so-called laws of nature identified in the sciences; and they do not stand in need of a regulative intelligent principle as implied in any postulation about a creator God.

5. The Argument from Scripture

Another variation of the argument from scripture which Kumārila examines is the Nyāya attempt to argue for the existence of God on the grounds of the authority and sanctity of the Veda in respect to its pronouncements on *Dharma* ("Law"), which Nyaya readily accepts as an independent moral concept. The Nyaya rationalists championed

the following argument: the remarkable authoritative and trustworthy characteristics of the Veda, as well as its internal structure, suggest a transcendental source of superior eminence, who alone is capable of such insights and ethical rectitude in His concern for sound human action and welfare. It is inconceivable, contended these rationalists (and as Udayana, c. 900–1200 C.E., later formalized[28]), that any being other than one who is omniscient and most benevolent would have been moved to "reveal" to an ignorant human race such elevating and pristine truths as are embodied in the Veda.

In other words, the impeccability and infallibility of the scripture inevitably point to a source or an author that cannot but be omniscient. Thus, God is to be accepted on account of the inviolability of the word of scripture (and not the other way around, namely, that "revelation" is accepted because it is the word of God). Common sense resists the suggestion that any art (or "text") is ever without an artist (or "creator") who, moreover, has attributes which are rather special to him or her.

At best, this argument of the Nyāya (with the familiar Thomist ring to it) unwittingly introduces the suggestion that the Veda must have been authored. The Mīmāṃsā is not prepared seriously to entertain this view, not because of what it does or does not establish in respect to God, but because of what it attempts to establish in respect to the origin of the Veda. Kumārila finds the Nyāya line of reasoning to be utterly unpersuasive and highly speculative. There is no good reason to suppose that the virtues and sanctity of the scripture point to any source beyond itself. As Sankara was to do more forcefully after him (*BSB* II ii 38),[29] Kumārila points out a circularity in the Nyāya argument, namely, that first the omniscience of God is demonstrated on the basis of the authoritative character of the scripture, and then the authority of the scripture is established or

confirmed on the grounds of the omniscience of God. What evidence is there, Kumārila asks, for the actual authorship of the scripture in question? Such an author has never been observed, and if the scripture mentions an author or authors, the reference is either to mythical beings or to names of persons, such as Kathaka, who were entrusted with reciting particular portions of the Veda.[30] He rejects the Nyāya "proof" on the same grounds on which he rejects all forms of the "Veda by design" argument: for the Veda was not fashioned or issued by any being.

Might not, however, the acceptance of a supreme being as author of the scripture serve to vindicate the infallibility of the Veda? Kumārila's response to this question is an emphatic "No!" For, given that the Veda is already regarded as infallible, Kumārila thinks it fruitless to attempt to locate its origin in an infallible being. Or, to do so would undermine the infallibility of the Veda.[31] Furthermore, if the Veda is to be regarded as a creation of God, it might be difficult to accept all that is said there about God, for the simple reason that we cannot accept just anything anyone says about himself or herself, in scriptures or elsewhere (see earlier #60). But to counter this response one must first demand proof that the Veda is unauthoritative and fallible, lest the opinions therein be dismissed as false and unreliable. But for the Nyāya, this position can be successfully opposed by proving the existence of an infallible author of the Veda. In defense of his master, however, Pārthasārathi Miśra musters this quixotic reply:

But then, this infallible author too would depend upon the Veda for proof of his existence; and the infallibility of the Veda resting upon the infallibility of such an author, the reasoning would become a case of arguing in a circle.[32]

It is indeed curious that a divine author would need to rely on the Veda for proof of His own existence. But this puzzle is not pointless, for according to legend Brahmā, the demiurge-architect of the world, is said to have wandered, the Veda clasped in one hand, from one corner of the universe to another, looking for his own origin, before he disappeared down a lotus stem into Visnu's navel. The upshot of all this is that a theorist would not consider postulating an author had he not accepted the possibility of an independent scripture. But if there is no good reason to doubt the authenticity of the scripture, then an author (as source of its authority) need not be assumed.

It is clear also that Kumārila wants to place the onus of proof on the opponent. Furthermore, Kumārila wonders how the omniscience of such a superior being could be known or recognized unless there were other omniscient beings. But theists like the Naiyāyikas want to argue for only one omniscient being. The Mīmāṃsaka is pressed to say, it may be surmised, that even if there were an "omniscient" being or person who knows of His own existence, He would nonetheless know what is in the Veda—viz., the categorical imperatives of *Dharma* or sacrificial "duty" as means to the promotion of a more fruitful and liberated existence, here and hereafter. Hence His existence would be made redundant by dint of the fact that the knowledge He would possess is already contained in the Veda. In the final analysis, since all that is required is the realization of the truth of the assertion that "*Dharma* is knowable by the Veda alone," the Mīmāṃsā is not obliged to prove or accept the omniscience of any being, human or divine.[33]

6. Kumānia's Worries about Omniscience

From Kumārila's point of view, an omniscient being would at best be a metonym (for the Veda) and would at worst not be very kind (in

view of the magnitude of suffering in the world), and is therefore not a desirable postulate.

The crucial point of the Mīmāṃsā argument is centered in this discussion of authorship and especially of "omniscience," which we should here emphasize a little more. After rejecting the Nyāya evidence, whose basis is an inference positing a God over and above the Veda, Kumārila next rejects any suggestion whatsoever of a being who is omniscient, on the grounds that ordinary humans, not themselves omniscient, would have no way of determining the omniscience of any being. Kumārila's motives, however, go much deeper than simply expressing difficulty of an epistemological kind. Clearly, his dispute is with the Nyaya method: the logician typically first establishes the existence of God by means of inference (from ordinary experience) and then attributes the composition of the Veda to God. This is clearly not acceptable, either from the logical or the *āstika* point of view.

In the crucial *Ślokas* (SV s#114–116), Kumārila questions whether he would accept the evidence of the existence of the Creator God on the very assumption on which one is expected to accept the omniscience of a (human) being (*sar-vajñanatvam*): *sarvajñavannisedhya ca strastuh sadbhāvakalpanā?* (SV s#114). The Nyāya arguments seem to force one to do so. But there is great danger in this move, which Kumārila is at pains to arrest. The real or implied intent of this nagging doubt is brought out rather more clearly in Pārthasārathi's elaboration on Kumārila's foregoing cryptic statement: *yathā ca buddhadeḥ sarvajñatvaṃ pu-ruṣatvādasmadādivan niṣedhyaṃ, evam prajāpaterapi straṣṭratvam (Nyāyaratnākara* s#114):

> As the omniscience of the Buddha cannot be proved from such statements as 'He (the Buddha) is omniscient' because he was a

man like ourselves, so is the creatorship of Prajapati (in doubt).[34]

The disquiet is not merely with the claim in regard to creation, but with any arguments that purport to establish the omniscience, and thereby the creatorship, of a personal being, *such as of the Buddha*. Suppose for now that Buddha wrote the scripture in which he describes himself as an omniscient person (*sarvajña*); should one naively trust this statement? Suppose also that someone else after the Buddha wrote this into the text; should one rely on this statement without being critical of its authority? In the same way, then, even if we supposed the Veda was created by God and God therein speaks of His omniscience, we should not rely on this statement (about His omniscience, etc.).

The fundamental criticism is here embedded in the simile "*sarvajñavat*: like the omniscience" The omniscience alluded to, however, is precisely the omniscience of the Buddha claimed by his followers. The worry is that, given the very flimsy grounds on which the Nyāya is prepared to accept the omniscience of the supposed author of the scripture, what is there to prevent the Buddha from claiming to be omniscient, the creator of the world and the authority above all authority, particularly that of the Veda? The Veda, then, would shrink in its significance, and Hinduism would suffer a further assault. If, on the other hand, it could be shown that the authority of the Veda logically precedes Prajāpati (the God of creation), then it would follow that Prajāpati knows what is already contained in the Veda, for no knowledge (about *Dharma*, right actions, etc.) is possible without the Veda (SV s#115). Kumārila concludes, therefore, that we must accept that the Veda was prior to creation or to the existence of any sentient being. If the Nyāya refuses to accept this thesis, what hope is there that the Buddhists will accept it and refrain from thinking that another omniscient being, such as the Buddha himself, has knowledge superior to that of the Veda? (We may

speculate whether a Veda-believing omniscient Buddha would have caused less of a problem for the Mīmāṃsā. They would, however, still question the need for two infallible authorities—viz., the Veda and the Buddha.)

IV. CONCLUSION

From the foregoing discussion it appears that much of Kumārila's critique and attempted deconstruction of the then prevailing arguments for the existence and absolute nature of God could be attributed to his need to respond to the Buddhist onslaught against the Brahmanical faith in the authority of the Veda. Although it is said that the Buddha remained mute on the question of the existence of God and His role in religious discourse, the avowed non-theism of his followers was an issue of some concern to many a Hindu. But it was the attack on the Veda that was by far the more sensitive issue for the orthodox Brahmanical schools. Hence, leading the rebuttal, the Mīmāṃsakas concentrated their efforts on addressing the latter issue. Further, the Nyāya attempt to establish the existence of God on the basis of inferential reasoning, and by accepting the scripture as the creation of an omniscient author, simply opened up a Pandora's box that might allow recognition of the sanctity of any authorial text or scripture, as well as evoke similar claims to omniscience on behalf of the Buddha and other fundamental founders of religions. For the Mīmāṃsā, all of these would appear to be highly detrimental to Hindu orthodoxy.

Now it is possible that Kumārila had come to disbelief in God, or that this had been reinforced while (as it is sometimes claimed[35]) he was with the Buddhists, or that he was a Buddhist himself. But he could not reconcile himself to this disbelief or seeming act of apostasy, even while he campaigned to raise the status of the Veda. Clearly, neither would he accept the omniscience of any human

teacher or author (*auctor*). He had found in the Veda a pre-established, albeit impersonal, authority; hence there was no need for him to accept any personal "author/ity" (*auctoritas*) whether human or divine. The thrust of the argument in the passages we have considered thus appears to be tinged with these conflicts, which Kumārila may well have attempted to resolve in himself. Why else would he consider so seriously the Nyāya locution about "omniscience," particularly human omniscience, which he then tries to refute? Certainly, he had to counter the Nyāya claims in respect to omniscience of the Creator God. But Kumārila did not stop at that: for omniscience is *omniscience*, whether its locus is human or divine.

In conclusion, then, several inter-connected motives appear to have been at the core of the Mīmāṃsā skepticism about assertions for the existence of God:

1) Arguments based on inference (*anumāna*) would tend to elevate the capacity of reason beyond its reach: for the impressions that we have through sense-data do not suggest any such necessary inferential links (*vyāpti*); if anything, creation-dissolution seems to be a continuous process. (This is a kind of Humean skepticism.)

2) A transcendental deduction with respect to *dharma-adharma* would point to the reality of *apūrva* (unseen efficient potency), thereby ruling out the necessity of a supreme apportioner or superintender of human actions; besides, this explains better the ubiquitous problem of "evil" and suffering. (This is moral-*theodikē* skepticism.)

3) To admit creatorship on the assumption of omniscience opens the way for more than one omniscient being and especially for the Buddha's claim to omniscience, and perhaps even his creatorship; or it tolls the end to belief in the world altogether, more particularly, belief in everlasting souls, "kingdom of ends" (*svarga*), and the

efficacy of rituals; likewise, the end to reliance on evidence of scripture on such matters. Here personal omniscience is rejected. (This is *onto-logos* skepticism.)

4) A supreme personal being independent of the Veda undermines the finality and absoluteness of the Veda, whose authorlessness is in need of urgent defense which would also vindicate the autonomy of the moral law (*Dharma*). (This is authorial skepticism.)

5) Since the Buddhists did not evolve any such doctrine of *apauruṣeyatva* or "authorless revelation" as had the Mīmāṃsā,[36] that in itself is sufficient for preserving the orthodox-heterodox (*āstika-nāstika*) distinction, and, therefore, for upholding the orthodoxy of Mīmāṃsā, if not of Hinduism at large. (The erstwhile orthodox-heterodox *différance* shifts to "authorlessness" for its authenticating mark.)

This does not prove conclusively that the Mīmāṃsaka, although by any standards a *doubter* and possibly also an apostate, is an *atheist*, or really that he is a *theist*. But it does show that this apologeticist from the most orthodox and presumably dogmatic of Hindu schools is an *agnostic*. It is, then, not such a heresy or blasphemy, at least within one of the world's major *theo-philosophia* traditions, to call into doubt the reality of the Transcendent and to be open to theomachy.

Finally, from Hume, an anecdote that Kumārila might have taken a curious delight in (and added his own nuance as to the form of "religion" one returns to):

Don't you remember, said PHILO, the excellent saying of LORD BACON on this head [whether atheist and sceptic are synonymous]? That a little philosophy, replied CLE-ANTHES, makes a man an Atheist: a great deal converts him to religion.[37]

* I would like to express my thanks to Dr. Jocelyn Dunphy for going through a draft of this paper and making a number of useful suggestions.

1 See, for example, A. L. Basham, "KRSNA," *Religious Traditions* 1 (Oct., 1978), 1–8. More instructive in this context is Basham's erudite survey of "Hinduism" in R. C. Zaehner, ed., *The Concise Encyclopaedia of Living Faiths* (London/Boston: Beacon Press, 1964). Zaehner's works on Hinduism, especially his translation of the *Bhagavad-gītā* (Oxford: The Clarendon Press, 1974), and his *Mysticism, Sacred and Profane* (Oxford: The Clarendon Press, 1968), betray a distinctive monotheistic reading of classical Hinduism. Cf. Max Müller, *The Six Systems of Indian Philosophy* (London: Longsman, Green, 1928); and Donald and Jean Johnson, *God and Gods in Hinduism* (New Delhi: Arnold-Heinemann, 1972).

** This reprinted article is dedicated to the memory of Dr. Wilhelm Halbfass, departed May 2000.

2 For discussion on these, see Dale Reipe, *The Naturalistic Tradition in Indian Thought*, 1961 (Delhi: Motilal Banarsidass, repr. 1964), chps. 4, 7, 81. On Ājīvikas, see A. L. Basham, *The History and Doctrines of the Ājīvikas* (Delhi: Motilal Banarsidass, 1951). On Jainas, see S. Gopalan, *Outlines of Jainism* (Delhi: Wiley Eastern Pvt. Ltd., 1973); and Y. J. Padmarajiah, *A Comparative Study of the Jaina Theories of Reality and Knowledge* (Delhi: Motilal Banarsidass, 1986).

3 Gopinath Kaviraj, Preface to Ganganatha Jha's translation of Kumārila Bhaṭṭa's *Tantravārttika*, Bibliotheca Indica 161 (Calcutta: Asiatic Society of Bengal, 1903–1924); reprinted Sri Garib Das Oriental Series No. 9, 10 (Delhi: Satsguru Publications, 1983), vol. 1, pp. vi–vii.

4 *Ibid.*, p. vii; and see Umesha Misra, in Appendix to Ganganatha Jha, Pūrva Mīmāṃsā in Its Sources (Varanasi: Banares Hindu Univ., 1964), pp. 21–22.

5 Kumārila Bhaṭṭa, *Ślokavārttika (tarkapāda)*, I.i.#10 (cf. Jha's translation, p. 2—see note 9 below). Cf. Ganganatha Jha translations of "*lokāyata*" as "atheism," and "*āstika*" as "theistic." This is patently misleading, particularly in the case of the latter, for one could still be an *āstika* and not believe in God; otherwise the Mīmāṃsā would have to be classified as *nāstika*, which to my knowledge no one has ever done. In his later works, however, Jha is more cautious.

It may be noted that to be classified as a *nāstika* (heterodox) one would presumably deny one or more of the following: (i) belief in an afterlife; (ii) belief in the Veda; (iii) belief in God. But it does not follow from this that a simple assertion of (iii) in itself is sufficient to render one an *āstika*, as noted above; and if that were the case, the Brahmanical priests would not have looked down upon the new arrivals on their land, namely, the Zoroastrians, Jews, Christians, and Muslims, as *mlecchas* (literally, barbarians or infidels)! It may be argued that, as far as the Mīmāṃsā is concerned, in the *āstika*-making criteria, (iii) is not even necessary, while (i) is more or less contingent, and (ii) is both necessary and definitive.

6 For further discussion on the Mīmāṃsā view of "authorless text" and its comparisons with Western theories of Revelation and language, see Puruṣottama Bilimoria, "On the Idea of Authorless Revelation (*Apauruṣeya*),1" in Roy W. Perrett, ed., *Indian Philosophy of Religion* (Dordrecht: Kluwer Publishing Company, 1989), pp. 143–66. On Mīmāṃsā and Nyāya theories of language, Bilimoria, *Śabdapramāṇa: Word and Knowledge, A Doctrine in Nyāya-Mīmāṃsā Philosophy, Towards a Framework for Śruti-prāmāṇya* (Dordrecht: D. Reidel/Kluwer, 1988). See also, J. A. B. van Buitenen, "Introduction," *The Bhagavadgītā in the Mahābhārata* (Chicago: Univ. Chicago Press, 1983).

7 The strongest assertion rejecting application of the epithet "atheism" to the Mīmāṃsā, on the grounds that this would disqualify the school from the *āstika* tradition, is to be found in Pasupathinath Shastri's *Introduction to the Pūrva Mīmāṃsā* (Calcutta; A. N. Bhattacharya, 1923; 2nd edition: Chaukhamba Orientalia Varanasi, 1980), pp. 9–13, and *passim*. Shastri invokes as his authority the veteran Max Müller, who made a similar defense. Shastri's supposition, however, that *āstika* entails "belief in God" cannot be supported, since "belief in God" is not a sufficient condition for one to be an *āstika*, and, contrariwise, belief in the supremacy of the Veda does not entail belief in God. See note 5 above.

8 Ganganatha Jha, Indian Thought Series, Benares Hindu University, Benares, 1904, vol. 11, p. 262, repeated in his *The Prābhakāra School of Pūrva Mīmāṃsā* (Delhi: Motilal Banarsidass, 1978), p. 88; similar discussions also occur in his *Pūrva Mlmdmsd in its Sources*, p. 135ff.

9 *Ślokavārttika* of Kumārila Bhaṭṭa, with commentary *Nyāyaratnākara* of Pārthasārathi Miśra, Prachyabharati Series 10, ed. and rev. Swami Dvarikadasa Sastri (Varanasi: Tara Publications, 1978). SV = *Ślokavarttika*, I. xvi = " *Sambandhākṣepaparihāra*" = s, followed by "#" to indicate *śloka* or verse referred to. English texts are from Ganganatha Jha's translation of *Ślokavārttika* (I: *tarkapāda* section) with extracts from commentaries *Kaśikā* of Sucarita Miśra and *Nyāyaratnākara* of Pārthasarathi Misra, Bibliothetica Indica 146 (Calcutta: Asiatic Society of Bengal, 1900–1908); reprinted Sri Garib Das Oriental Series No. 8 (Delhi: Sri Satguru Publications, 1983), p. 356. Reference to Jha's translation is indicated in parentheses, though his translation is not reliable in some instances. (I have cited his translation after cross-checking with the original and commentarial works.) The commentary referred to in the text and notes is Pārthasārathi Miśra's *Nyāyaratnākara*.

10 Commentary (*Nyāyaratnākara*) on SV s#47 (p. 356).

11 John Vattanky, *Gaṅgeṣa's Philosophy of God* (Adyar: Adyar Research and Library Centre, 1985), p. xi.

12 Strictly speaking this is Aristotle's four-fold division of causes; the Nyāya basically recognizes two: efficient and material causes, under which formal and final causes are respectively subsumed. Nor is there in the Nyāya ontology the distinction between necessary and contingent causal relations.

13 Vattanky, p. 166, pp. 408ff.

[14] *Ibid.*, p. 204, and also pp. 326ff.

[15] On "spider's web," see SV s#51 (pp. 356–57). Cf. Hume's ridicule of the Brahmin's spider-web cosmogony, and his guarded commendation for the novelty of the analogy! David Hume, *Dialogues Concerning Natural Religion*, in *Hume on Religion*, ed. and intro. by Richard Wollheim (Glasgow: Fontana/Collins, 1963), p. 154.

[16] Hume, *Dialogues*, p. 121.

[17] *Ibid.*, pp. 120–25.

[18] SV s#I 12 (p. 368). See also Hume on re-examination of the principle "Like Effects prove like causes," Part V, *Dialogues*, p. 138.

[19] Vattanky, p. 25.

[20] Hume, *Dialogues*, pp. 178ff.

[21] SV s#67 (p. 359).

[22] SV s#49–50 (p. 356).

[23] SV s#52–54 (p. 357).

[24] SV s#56 and commentary (p. 357).

[25] *Ibid.*

[26] SV s#60 (p. 358).

[27] *Ibid.*

[28] See summary of Udayana's argument in George Chemparathy, *Indian Rational Theology* (Vienna: de Nobili Research Library series, 1979); and see section on the Nyaya argument in "Hindu theodicy: Śaṅkara and Rāmānuja on Brahman," in *Religious Investigations*, Study Guide and Reader, Philosophy of Religion (Geelong, Vic: Deakin Univ., 1987).

[29] *BSB = Brahmasūtra-Bhāṣya of Śaṅkara*, ed. J. L. Shastri, with *Ratnāprabhā, Bhāmatī and Nyāyanirnaya* (Delhi: Motilal Banarsidass, 1980).

[30] See *Ślokavārttika* section on *Apauruṣeya* ("authorless text") I (*tarkapāda*) xxvii-xxxii, pp. 553ff.

[31] SV #61 and commentary (p. 358). The second part of the argument is drawn from *Ślokavārttika's Codana-sūtra* I.ii.69–70 and commentary (p. 31); see also #92–93, 98–101 under same *sūtra* (pp. 34–35).

[32] Commentary under SV *Codana-sūtra* #69 (Jha translation, p. 31).

[33] SV s#I 14–116 (Jha translation, p. 368).

[34] *Nyāyaratnākara* on SV s#114. It is to be noted that Jha's translation of this is unreliable, for he avoids mention of the Buddha which actually occurs in the commentary. Kumārila in SV *Codanasūtra* #95–96 (p. 35) mentions the Buddha by name and remarks that the Buddha's assertion, as with all human assertion, is not immune from defects and imperfections, suggesting that the Buddha is not to be regarded as being omniscient (SV s#I 19). See also SV *Codanasūtra* #47–59, #114–117, and #128–138; #169–172; #145–147.

[35] See Kaviraj, note 3 above, p. ix; and Charles Eliot, *Hinduism and Buddhism: An Historical Sketch* (3 vols.) (London: Routledge & Kegan Paul, 1921–1922), vol. 2, p. 110, p. 207 (reprinted New Jersey: Barnes and Noble, 1962). Kaviraj reports a tradition recorded in Tibetan works according to which Kumārila lost a debate to Dharmakīrti and thereupon became a Buddhist. Other accounts suggest that Kumārila lost faith in Buddhism as well, defied his teacher, and suffered loss of "one eye" during a wager with Buddhists as he attempted to re-assert his belief in the Veda. In order to expiate his heretical "sins" and to reverse his theomacy, Kumārila is believed to have attempted to immolate himself. Since, however, he had a lot of *apūrva* (presumably meritorious ones also) stored up, his body smoldered without incinerating; thus he stayed conscious of his state for an immensely long time. Legend has it that no one, not even Śarikara who arrived half-to-a-century later, could talk the despondent scholar-grown-skeptic out of his miserable self-annihilation (a bit like the suicidal tendencies of some latter-day existentialists).

[36] See note 6 above.

[37] *Dialogues*, p. 111.

RICHARD P. HAYES

PRINCIPLED ATHEISM IN THE BUDDHIST SCHOLASTIC TRADITION

0. INTRODUCTION

In their systematic presentations of religious philosophy, the Indian Buddhists consistently defended the position that belief in an eternal creator god who superintends his creation and looks after the concerns of his creatures is a distraction from the central task of the religious life. This was clearly the position taken in the early Pāli literature and in the Theravāda philosophy based on that literature, but even in the later Mahāyāna writings such as the Lotus Sūtra and the Laṅkāvatāra Sūtra, in which buddhahood is portrayed not as a feature of the isolated career of Siddhārtha Gautama but rather as a constant feature of the entire cosmos at all times, great care is taken to try to distinguish the concept of the cosmic Buddha-nature in the forms of Dharmakāya or Tathāgatagarbha from the concept of a creator god. The Buddhists were, for whatever reasons, eager to avoid falling into a theistic position. The motivation behind the present paper has been to discover what those reasons were.

Section 1 will outline how the issue of God's existence is treated in the early Buddhist literature, especially in the Suttapiṭaka, where systematic Buddhist philosophy begins. Section 2 will review the treatment of the question of divine creation as an issue in the systematic philosophy of such thinkers as Vasubandhu (400–480), Dharmakīrti (600–660), Śāntarakṣita (725–788) and Kamalaśī la (740–795). And section 3 will show how the arguments for atheism are

isomorphic with the arguments for a variety of other positions to which the Buddhist philosophers were committed.

1.0. BUDDHIST ĀGAMAS ON THE QUESTION OF GOD

In the Nikāya literature, the question of the existence of God is treated primarily from either an epistemological point of view or a moral point of view. As a problem of epistemology, the question of God's existence amounts to a discussion of whether or not a religious seeker can be certain that there is a greatest good and that therefore his efforts to realize a greatest good will not be a pointless struggle towards an unrealistic goal. And as a problem in morality, the question amounts to a discussion of whether man himself is ultimately responsible for all the displeasure that he feels or whether there exists a superior being who inflicts displeasure upon man whether he deserves it or not.

An instance of the epistemological treatment of the question of the highest good occurs in the Tevijja Sutta, the thirteenth sutta of the Dīgha Nikāya. In this sutta there is an account of a dispute between two young brahmins, Vāseṭṭha and Bhāradvāja, over the issue of which religious practices lead most directly to union with Brahmā. Brahmā is typically treated in the Nikāya literature as an object of brahmanical devotion who is believed by his devotees to be the master over whom no other being has mastery (abhibhū anabhibhūto), who sees everything (aññad-atthu-daso), the mighty one (vasavattī), who is lord, maker, designer, chief, creator, master and father of all beings that have been and of all beings that shall be (issaro kattā nimāttā seṭṭho sañjitā vasī pitā bhūtabhavyānam).[1] Moreover, companionship with Brahmā (Brahma-sahavyatā) is believed to be the state of salvation, and so whatever set of practices

leads most directly to companionship with Brahmā may be considered the most direct path to salvation (añjasâyano niyyāniko).[2] But the brahmin students Vāseṭṭha and Bhāradvāja have heard from their respective teachers differing accounts on which practices lead to the goal that they both desire. And so they decide to approach Gotama the Buddha to see whether he can decide which party is right in this very important dispute.

On being told the nature of the dispute between Vāseṭṭha and Bhāradvāja, Gotama Buddha begins by asking the disputants a few questions of his own, and the answers to the questions show that the young brahmins believe that there are many alternative paths that lead to Brahmā, but the dispute is really over which path is most direct. On learning this much, Gotama Buddha then pursues the supposition that there are paths that lead men to meet Brahmā face to face. What, asks the Buddha, entitles us to believe that anyone meets Brahmā face to face? Prompted by Gotama's questions, the young brahmins concede that no living brahmin teacher claims ever to have seen Brahmā face to face, nor has any living brahmin teacher's teacher, nor has any teacher in the lineage of teachers for the past seven generations. Moreover, not even the Ṛṣis, the ancient seers who made the Vedas available to man and whose words the brahmin priests learn and chant and transmit down through the generations, claim to have seen Brahmā face to face. What we have then, is the astonishing state of affairs in which the followers of the brahmanical religious tradition are striving towards a goal for the existence of which no one has any evidence. Their religious goal, says the Buddha, is laughable (hassaka), vain (rittaka) and empty (tucchaka).[3]

It is not only fellowship with God that is dismissed in this way. Very nearly the same treatment is given to a Jaina disciple and his teacher in the Cūḷa-Sakuladāyi-sutta and the Vekhanassa-sutta respectively,

suttas seventy-nine and eighty in the Majjhima Nikāya. Here the Jainas are depicted as seeking after a "highest lustre," a lustre superior to which and more excellent than which there is nothing. On hearing of this unsurpassed lustre, the Buddha's response is exactly the same as his reaction to the idea of comradeship with the mighty lord and creator of all beings: he challenges the devotees to point to that to which they are devoted. When they cannot do so, Gotama spins out an analogy to illustrate to the devotees the nature of their search. They are, he says, like a young man who goes about saying "I love and cherish the loveliest woman in the land," but who cannot say whether she is of high birth or low, of pale complexion or dark, a city-dweller or a villager, and does not even know what her name is. In short, the poor fool does not know, directly or indirectly, the identity of the woman with whom he claims to be in love. We are entitled to wonder, then, whether he is really in love at all.

The Buddha's reaction to those who seek to meet the creator or who seek the unsurpassed lustre is not to deny that such things exist. Rather, it is to take the epistemologically cautious stand that even though the loveliest woman in the world may exist, one might very well see the person who uniquely answers to the description of the world's loveliest woman and yet not realize *that* she is the person who answers to that description. Furthermore, it is not clear how one could ever be certain that a given woman were the loveliest in the world, unless he could see every woman in the world and know that he had seen every woman. Similarly, it is not clear how a religious seeker could be sure that he had correctly identified the greatest lustre or the master over whom no other being has mastery. And, as we see in the Brahmajāla Sutta in the Dīgha Nikāya, the case can be made that people often misinterpret religious experiences and draw false conclusions from them, which should make one suspicious of even the very claims of direct experience of such things as

unsurpassed masters. Until his identification of the supreme being is specific and certain, the religious seeker may be said to be pursuing such an ill-defined and nebulous goal that it becomes difficult to determine whether a given set of practices leads toward or away from the desired goal. In contrast, the goal of nirvāṇa towards which Gotama's disciples strive is sufficiently definite — the elimination of selfish desire and hostility — that a disciple can have a very clear idea of whether he has or has not reached it and whether he is or is not making progress toward it. It is a goal to be realized in this life, not in some future existence, says Gotama, and he makes no promises to anyone other than that nirvana can be achieved by anyone who strives diligently to attain it. The definiteness of the goal of Buddhist striving is what makes that goal more worthy of pursuit than the goals of the Brāhmaṇas and the Jainas — this seems to be the message so tirelessly repeated in the Nikāyas. And so the Buddha Gotama is portrayed not as an atheist who claims to be able to prove God's nonexistence, but rather as a skeptic with respect to other teachers' claims to be able to lead their disciples to the highest good.

The above described reactions of the Buddha to the claims of other religious teachers are simply instances of his well-known aversion to speculative views concerning matters that are beyond man's ken. Speculation about such matters as whether the universe is beginningless or had a definite point at which it came into being was regarded as a distraction from pursuits closer at hand, and time spent thinking about such things was regarded as wasted time that could more profitably be spent on gradually ridding oneself of those counter-productive attitudes and beliefs that, when acted upon, bring further distress rather than the desired relief from the inconveniences of the human condition. That the attitude of the Buddha as portrayed in the Nikāyas is more anti-speculative than

specifically atheistic is illustrated by a refrain that is frequently repeated in the Brahmajāla Sutta. Here Gotama the Buddha differentiates himself from other teachers on the grounds that he, unlike them, does not propound doctrines concerning the nature of the self after death. Furthermore, unlike other teachers, the Buddha realizes that "these dogmatic tenets thus taken up and thus embraced will lead to such and such consequences and will lead to such and such a destiny."[4] What the reader of this sutta is left to conclude is that if the consequences of embracing certain tenets about the existence of the self were healthy, then Gotama would certainly recommend that his followers embrace them; but, since he in fact repeatedly warns people to avoid embracing certain tenets, there must be something about them that he regards as unhealthy or counter-productive.

Some insight into why it is that Gotama regarded the belief in God as unhealthy, as an obstacle to spiritual progress, can be gained by looking at the Devadaha-sutta, the one hundred first discourse in the Majjhima Nikāya.[5] Here we find an enumeration of the types of reasons that people often give for why they experience pleasure and pain. Among the five reasons, one is that pleasure and pain are created by God (issara). This view is not refuted in the sutta in question, which is a polemical dialogue against the Jainas. All that is said is that *if* God creates pleasure and pain, then the Jainas are made by an evil creator who inflicts much suffering on them through their programme of austerities; the Buddha, on the other hand, feels only pleasant feelings in his dispassionate state, and so, if pleasure be created by God, then the Buddha's creator must be a kind one. The other theories, incidentally, as to why men experience pleasure and pain are that such experiences are (1) the result of actions done in the past, (2) the result of fate, (3) innate to certain species of beings, and (4) the outcome of efforts undertaken in the present life.

A Buddhist monk, says this sutta, realizes that the source of all displeasure is self-centred craving (taṇhā), while the source of pleasure is nonattachment and dispassion. And so, while the reader is left to conclude that it is attachment rather than God, actions in past lives, fate, type of birth or efforts in this life that is responsible for our experiences of sorrow, no systematic argument is given in an attempt to disprove the existence of God.

Nor do we encounter actual arguments against the existence of a creator god in later Theravāda works such as Buddhaghosa's Visuddhimagga. Here it is explained that the Buddha's teaching that craving is the root cause of all distress is offered as a corrective to such false theories as that the world with all its woes is the creation of a god (issara), or that it is an evolution of primordial matter (padhāna) as in the Sāṁkhya system of philosophy, or that it is a product of time or fate or that it is an accidental by-product of material elements.[7] But how and why these theories are false is not explained.

2.0. VASUBANDHU'S DISCUSSION OF DIVINE CREATION

Like Buddhaghosa, the dogmatist Vasubandhu refers to alternative accounts of how the world and its attendant suffering began, and he too refers to the views that it began through divine creation, through an evolution of primordial matter, or on account of time, fate or pure chance. Unlike Buddhaghosa, however, Vasubandhu supplies arguments designed to show why these various theories are inadequate. Concerning the theory of divine creation of the world, Vasubandhu focuses his attention on three issues. First, he explores the question of how a single, undivided God, existing at all times, can create a complex universe the parts of which arise in temporal

sequence. Second, he examines God's psychological motivation in creating the world. And third, he looks into the relationship between God as principal creator and auxiliary causal factors that go into making up the world. Vasubandhu treats these issues in about one page of Sanskrit prose. Later Buddhist philosophers wrote more extensively on each of these three issues than did Vasubandhu, but for the most part they did not explore other issues beyond these three. Let us look at the issues one by one, seeing first how Vasubandhu treated each one and then how later philosophers expanded on his treatment.

2.1. GOD'S UNITY

The position that Vasubandhu and most other Buddhist scholastics accepted is that the world is caused by a virtually infinite number of causes, namely, the intentional actions of the countless sentient beings who have lived through all beginningless time. The belief that there is a single entity responsible for the rich diversity of experiences is fundamentally wrong-headed. "The world," says Vasubandhu, "does not have a single cause. Although they generate their own actions in birth after birth, the poor wretches of unripened wisdom, who experience the consequences of their own actions, wrongly contrive a supreme God."[7] And so it should be noted at the outset that Vasubandhu's arguments are designed to demonstrate the untenability of *any* theory whereby the world's diversity is traced to a single source. In particular, Vasubandhu points out that all his arguments for the necessary plurality of causes does as much damage to the Sāṇkhya theory of primordial matter (pradhāna, or prakṛti) as to the theory of divine creation.[7]

   Given that understanding of Vasubandhu's own position, let us see how he criticized the positions that were contradictory to it. He

begins by saying:

If the world had a single cause, whether that single cause be God or something else, the entire universe would have to arise all at once. But what we observe is that beings occur one after another. Now that fact could be a function of God's intending for each individual thing that it arise at a given time and disappear later. But in that case, since there are numerous intentions, it would turn out that the cause of the world is manifold. Moreover, that plurality of intentions would be simultaneous, for the reason that God, which is their source, putatively has no internal divisions.[9]

As will be discussed more fully below in section 3, this argument, or various modifications of it, was one to which Buddhist academics repeatedly resorted, not only in their arguments against theism but also in their arguments against any hypothetical entity that was supposed to retain its singularity while possessing a plurality of parts or characteristics. By the time of Vasubandhu a real thing (dravyasat vastu) is defined as any ultimate simple, that is, anything that cannot be reduced either physically or conceptually into smaller components.[10] Consistent with that understanding of what it means for something to be a real thing, Vasubandhu argues that if it is claimed that God is real and therefore simple, then it cannot consistently be said that he also have a plurality of separate intentions, one for each object in the universe. But if God's uniformity is taken seriously, then he must have only one intention that is applicable to everything at once. And if that single intention is "Let it be," then everything must be at once. A simple God can create, it would seem, only a perfectly static universe. But the universe that we experience is not static.

Vasubandhu anticipates one objection to the above line of reasoning: "Now one might argue that even if God's intentions occur all at once, the [created] universe need not do so, since it is created in accordance with divine will."[11] God's mind could have exactly the same set of intentions at each moment in history, and in that case it could not be said that he undergoes change. His unchanging set of

intentions could be: "Let A be at t^a, B at t^b, C at tc ... X at t^x." Each event in history could then occur in the sequence that we observe and still the sequence could occur according to a constant set of volitions. Vasubandhu rejects this possibility, saying: "That is not so, because there is nothing that distinguishes those [intentions at one time] from [those that occur] later."[12] The point appears to be that if God's set of volitions is constantly in the form "Let all the events of history occur in a prescribed order," the problem still remains that in order for the intentions to be realized by being translated into action, some change must occur in something; some potentiality must be converted into an actuality. That change that must occur cannot occur in God himself, for he is changeless. It must, then, occur outside God. But if that which converts God's intentions into actions is something outside God, then we should say that it, rather than God, is the creator of the universe.

This question of how potentiality becomes actuality is taken up somewhat more fully in Dharmakīrti's arguments adduced to demonstrate the nonexistence of God. The first observation that Dharmakīrti makes is that a permanent, unchanging entity such as God would have to have exactly the same nature before the creation of the world as after; there would be no difference whatsoever between God as creator and God as a being that is not yet a creator.[13] To be a cause of something is to undergo some change, as when a seed and the earth in which it is planted undergo changes in nature as they evolve into a shoot.[14] But if God suffers no changes in nature, then he surely cannot be regarded as the cause of anything.[15] Even if there is no apparent change in nature within the cause itself, there must be some change in at least the cause's circumstances. For example, it must move from one place to another, or it must come into contact with an object with which it was not previously in contact. A weapon, for example, can be recognized as the cause of a

wound in the body only if the body is not wounded before contact with the weapon, then contacts the weapon, and immediately upon such contact develops a wound. But if God is supposed to be omnipresent and therefore always in contact with everything, it cannot then be the case that God comes into contact with a thing with which he was not previously in contact, and so it is impossible that a change in some object be due solely to that object's change in relationship with God.[16]

Central to Dharmakīrti's argument is the claim that no action is possible without change, and so no unchanging thing can perform the action of creating the universe. In this connection he anticipates a possible counterexample that might be cited to disprove this central claim. A sense object such as a patch of colour apparently undergoes no change at all when it is perceived, and yet it is acknowledged as a cause of sight, as can be shown by pointing out that sight occurs when a patch of colour is present and fails to occur when no visible object is present. Is it not possible, therefore, that God can be an unchanging cause of the universe in the same way that a patch of colour is an unchanging cause of vision?[17] Dharmakīrti replies to this hypothetical counterargument by stating the principle that nothing can become an actuality without first being a potential. A visible object could never actually be seen unless it had the potential to be seen, and so a sense object must have an intrinsic potential to be sensed, and this potential must be in some way triggered into actuality. Similarly, if God is a creator of the universe, it must be admitted that he has a potential to create that exists prior to his actually creating anything. But if this is so, we must ask how that potential becomes realized. A visible object's potential to be seen, for example, is triggered into actuality by factors extrinsic to the visible object itself; there must be such factors as light, a sentient being with a functioning eye and an attentive mind and so

forth, or else the potentially visible object cannot actually be seen. But is there a similar set of factors extrinsic to God that are required to trigger his potential to create? If so, then God is at least not a sufficient condition for creation of the universe — whether or not he is a necessary condition is a separate question, to which we shall return in section 2.3 below. But if there are no factors extrinsic to God that are required to trigger his potential to create, then the conversion of God's potentiality into actuality must be seen as an action that he himself performs. But if God performs an action, then he must undergo change and thus cannot be permanent.

Dharmakīrti could also have pointed out in this context that serious problems result from saying that a thing has an intrinsic potential to act. For following the parallel to an argument made in another context, we can see that if we claim that a certain object has an intrinsic potential to act, then we are forced to conclude that the object realizes that potential in every moment of its existence.[18] For otherwise we have no means of explaining why that which is a mere potential at one moment becomes an actuality in the next. Just as an object that has an intrinsic potential to perish must perish in every moment of its existence (and must, therefore, exist for only one moment), so also God, if he has a wholly intrinsic potential to create, must create in every moment of his existence. But this means that there is never a time when God exists and the created universe does not. If God is beginningless, then so is the universe. And if the universe is beginningless, there is no creation after all and therefore no need to answer the question of who brought the creation about.

Post-Dharmakīrtian Buddhist academics, such as Śāntarakṣita and Kamalaśīla, provided a natural corollary to Vasubandhu and Dharmakīrti 's conclusions that a changeless being cannot perform the action of creation. Not only can a changeless being not create the world of sequential events, says Śāntarakṣita, but he cannot even

know about the world of change. Even if there were a simple, beginningless and endless being endowed with the faculty of intelligence, such a being could not know the events of the transitory world, for if such a being knew each event separately as it occurred, then he would have a plurality of cognitive acts and would lose his unity. But if he knew all events at once, then he would not know the essential characteristic of events, which is that they occur in sequence. Knowing all events in history at once would be like hearing every note in a melody played at once rather than in sequence. Just as the essence of a melody lies in the sequentiality of the notes rather than in the mere presence of the notes, the essence of history lies in the sequentiality of events. And so, concluded Śāntarakṣita, if God is indeed simple and eternally changeless, he cannot participate in or know about history, and so those of us who are caught in history can derive no benefit from God's existence at all.

As can be seen from the above discussions, Vasubandhu's claim that a complex world cannot have a simple and thus eternal cause was a very powerful and rich claim indeed, which thinkers were still exploring and expanding upon for several centuries.

2.2. GOD'S MOTIVATIONS

A second question that Vasubandhu raises about the theory of divine creation focuses on the issue of why a self-sufficient and supposedly perfect being would either need or wish to create anything at all. Vasubandhu asks:

For what purpose would God expend so much effort in creating the world? Perhaps for pleasure? Well, if God cannot make an effort without pleasure, then he has no control over that, and thus he has no control over anything else either! [19]

Even more alarming than the possibility that God's creation of the universe was a mere indulgence in hedonism is the possibility that it was an act of cruelty, as evidenced by God's apparent willingness to allow his creatures to err and to suffer for their errors:

And if God allows his creatures to be afflicted in hells by many guardians and takes pleasure in that, then we should prostrate ourselves before such a God as that! For the verse composed about him is very apt that goes:

> Because he torments, because he is severe,
>
> because he is cruel and full of might,
>
> because he devours flesh, blood and marrow
>
> they call him the Dreadful (Rudra).[20]

In contrast to the argument concerning the impossibility of the creator's unity, which became the principal Buddhist argument against the existence of God, this issue of the creator's motivations was not stressed by Dharmakīrti, Śāntarakṣita or Kamalaśīla. In his Nyāyamañjarī, however, the Hindu theistic philosopher Jayanta Bhaṭṭa devotes a section to arguments adduced by atheists before providing his own arguments in favour of God's existence. Among the arguments that Jayanta cites against God's existence is a version of Vasubandhu's question concerning motivations:

Did the Lord of creation undertake the creation of the universe just as it is after he had pondered upon a purpose? If the undertaking were purposeless, then he would be like a madman, in that his actions would not be preceded by reflection.[21]

But, Jayanta reports his atheist opponent as saying, God is putatively endowed with every possible joy and is free of passionate desire, and so it is difficult to see what he would think he had to gain by creating a universe without which he is already quite content. The standard answer that the theist gives to this question is that God created the world out of compassion. But, says Jayanta's adversary, for whom are we to believe that God has compassion? Compassion is a response to beings who are in pain. But surely there can have been no beings

in pain before the creation of the universe; indeed, it was precisely because of the creation that previously contented souls began to feel pain and anguish. Moreover, since God is supposedly omnipotent, he might have created a universe in which sentient beings felt only joy and happiness instead of this sorry world in which what little pleasure there is is fleeting and serves only to taunt us in our misery. Perhaps we can conclude only that the creation was a joke (krīḍā) that God played to amuse himself. But, Jayanta has the atheist say, if the creation was a joke, it is one the humour of which is too subtle for the sentient beings to appreciate: "Neither is the Magnanimous One's joke appropriate, which causes dread in all his creatures, nor is this great effort to play it."[22]

As effective as this investigation into divine psychology might be in casting doubt upon the purity of the creator's motivation in making the world such as ours, this line of attack was not as commonly used by Buddhist academics as the more fundamentally persuasive arguments based on metaphysical considerations such as the problem of God's unity and permanence. There is no need, then, for us to dwell any longer upon the teleological issue.

2.3. GOD AS ONE CAUSAL FACTOR AMONG OTHERS

We have already seen how Vasubandhu, who was followed in this by Dharmakīrti, argued that God cannot be regarded as a sufficient condition of creation, that is, as a wholly self-sufficient creator with an innate self-actualizing potential to enact the creation of the world. But the possibility still remains open that God might be one of several necessary conditions in the origin of the universe. Historically, in fact, this view of creation, whereby God is a sentient, noncorporeal agent whose volition puts coeternal atoms into motion to make up

macroscopic corporeal forms and puts eternal souls into these created physical bodies, is the one adopted by most Indian theists, who generally condemned the theory of creatio ex nihilo as absurd. In dealing with the possibility that God requires factors outside himself in order to create the universe, Vasubandhu first considers the possibility that the creator's dependence upon other things is due to his being himself an effect of other causes. If anyone were to hold such a view, then he would have to answer what it was that caused the creators causes and so on ad infinītum. In fact, says Vasubandhu, this theory amounts to admitting that the universe is beginningless, which is the view accepted by Buddhists; but if one accepts that the universe is beginningless, there is of course no need to posit a creator at all.[23]

The possibility that God's dependence upon other things is in the nature of his being the effect of those other things is not to be taken very seriously, since no one actually advocates such a view, and Vasubandhu's refutation of it must be seen as a result of a good philosopher's penchant for thoroughness. Far more serious, however, is the claim that the world made up of insentient matter requires some conscious force to put it into motion. The principal argument of the theistic philosophers in India, in fact, was that since all complex products require sentient makers and since the universe is a complex product, the universe must have a sentient maker.

The above argument was one that the Buddhist academics tended not to reject; the medieval Indian Buddhists, in other words, did not advocate a position anything like the view accepted by most modern thinkers to the effect that the universe is for the most part uninhabited and that sentient life is a development that has come about relatively recently in the history of an inconceivably vast expanse of lifeless matter. On the contrary, Buddhist mythology and systematic philosophy generally endorsed the view that the vast

universe is everywhere populated by sentient beings and that the shape the universe takes is an accommodation to the force of the constant fruition of the multitudes of deeds performed by those sentient beings throughout the history of a beginningless universe. The medieval Buddhist view, in other words, is no more attuned to modern scientific views than is the theistic view of creation that the Buddhist academics sought to refute. What in particular Vasubandhu rejected in the theistic theory that the universe is sustained and influenced by noncorporeal sentience was the alleged *unity* of that sentience. If the material universe obeys the dictates of only one sentient force, namely God, then human beings and other sentient beings must be ultimately powerless, and their role in making all the manufactured items of ordinary life must ultimately be denied. As Vasubandhu puts the matter:

> He who accepts that there is but one cause of the universe must deny the obvious human effort in other matters. And he who fancies God as a creator along with [other] causal factors would merely be proclaiming his devotion, for we do not observe the operation of anything other than [the other] causal factors when something arises from them.[24]

Dharmakīrti did not develop this argument in his discussion of the theory of divine creation, but Śāntarakṣita expanded Vasubandhu's argument considerably. First, Śāntarakṣita recapitulates the theist's claim as follows: "Others regard God as the cause of all things that are produced. No insentient being, they say, produces its effects by itself."[25] But, he argues later, granting that an insentient universe cannot put itself into motion does not force us to conclude that there is but *one* sentient being who motivates insentient nature. On the contrary, in everything that we observe in the world around us we see that a multiplicity of effects is preceded by a multiplicity of creators. It takes many ants to make an anthill, and many men to construct a city and all the things in it; potters make pots, weavers make cloth, carpenters build houses and so forth, but we never observe that behind all these many manufacturers of things there is

but a single sentient being at work with a single will.[26] If there were but a single purposive will driving all apparently independent sentient beings, there would be no conflicts among beings, but this is hardly what we in fact observe. And so, concludes Śāntarakṣita, "We have no dispute with what is claimed in general, namely, that [products] are preceded by something intelligent, for diversity is born of deliberate action. In the argument for [products'] being preceded by a single, eternal intelligence, the conclusion is frivolous and [the evidence is] inconclusive, because it is observed that palaces and so forth are built by many people."[27]

   Closely related to the general issue of whether God is one factor among many in building and sustaining the universe is the contention held by some theists that God's function is an essentially administrative one in that he keeps an account of all the deeds of his creatures and dispenses retribution in accordance with merit. The crucial question to be asked in this connection, say the Buddhists, is whether or not God actually tampers in any way with anyone's stock of merit and demerit. If not, then it must be admitted that God is essentially doing nothing more than being aware of the natural process of the ripening of past deeds that would presumably take place whether or not he were conscious of it. God would then be much like us, a powerless bystander witnessing a series of virtually inevitable events. Positing such a god has no explanatory value, and paying respects to such an impotent figure would provide little comfort to the worshipper. And so, if God's administrative talents are to command our respect, it would appear to be more promising to assume that God can and does play a decisive role in the maturation of the seeds of past deeds into present realities. And to say that God plays a decisive role amounts to saying that he accomplishes something that the natural fruition process itself would not accomplish. But what can God accomplish that could not be

accomplished by a natural process of individual karmic seeds maturing into new realities? The most likely answer to this question is that God must somehow be able to alter the karmic configurations of sentient beings, to give beings rewards and punishments that they do not rightly deserve on the basis of the moral momentum of their own actions. But if God has this power to give those beings under his care gratuitous benefits, then we are entitled to ask why he does not consistently exercise this power so that all beings might always be happy. That he does not do so would appear to indicate either God's insensitivity to our pain or his cruel willingness to see us undergo suffering that he could easily prevent. And so, the Buddhists conclude, whether God is unable to help us, unwilling to help us or unaware that we need help, he is of little value to man. We are better off conducting our affairs on our own powers and acting as if there is no divine power to help us in the task at hand, which is to transform our characters in such a way that we do only meritorious actions that naturally ripen into happy experiences in the present and future.

3.0. THE PROBLEM OF UNITY IN GOD, INDIVIDUALS AND UNIVERSALS

Of the issues concerning the existence of God that have been outlined above, the one that received the greatest attention from the Indian Buddhist academic tradition was that of the possibility of God's unity, simplicity and permanence.[28] In fact, this principal argument for the nonexistence of God may be seen as a special application of a form of argument that occurs repeatedly in Buddhist metaphysical treatises, it being but another instance of the general Buddhist preoccupation with the problem of unity in diversity. Generally speaking, the Buddhist philosophers denied the existence of anything that was supposed to retain its unity while occurring in

or being related to a plurality of things, as this verse from the Laṅkāvatāra Sūtra acknowledges:

Personal identity, continuum, groups, causal conditions, atoms, primordial matter, and God the creator are regarded as mere ideas.[29]

Why each of these items is regarded as a purely conceptual fiction is that each is construed as a unity that is composed of a plurality of components. To give an exhaustive account of all occurrences of the Buddhist treatment of the one-many problem would be to tell nearly the whole story of Indian Buddhist philosophy, which is a bit like a symphony played on a one-stringed violin. Rather than attempting that monumental task here, let me simply outline four issues that at first glance might seem unrelated but which all turn out to be versions of the fundamental Buddhist claim that no whole exists over and above the existence of individual parts. Following this, I shall indicate briefly how this same fundamental claim was behind the Buddhist rejection of real universals and real relations.

3.1. WHOLES AND PARTS

Among the first Buddhist philosophical writings to become familiar to a relatively wide audience within the English-reading world was the celebrated Questions of King Milinda. In this text the monk Nagasena is depicted as explaining to King Milinda that the personal identity that most people naively believe they possess is in fact no more than a mere designation, a convenient fiction. To demonstrate this principle, Nagasena argues that the person is, like a chariot, really analyzable into discrete components, any one of which may be altered or replaced or deleted without impairing the supposed integrity of the collection of those parts.[30] Just as a chariot's wheel can be replaced without altering the chariot's "identity" — that is, without making it a different chariot — a person's body can undergo

changes, and some habits can be replaced by others, and knowledge can be gained or lost, and all these changes can occur without changing the person's "identity." But when we inquire into where this so-called identity resides, we find that it cannot reside in its totality in any one component part, nor can it reside in the set of parts taken as a whole. For if, let us say, the entire identity of the chariot were to reside in, for example, the left wheel, then the chassis and the axle and the right wheel would not be parts of the chariot at all, for the chariot would be just the left wheel. And if the left wheel should break and be replaced, we should have to say that the entire chariot was broken and replaced by an entirely different chariot. On the other hand, if we assume that the identity of the chariot resides in the collection of parts taken as a whole, then, since the whole changes any time any part changes, to replace any part would be to change the identity of the whole; to replace a single screw in the chariot would be to create a wholly different chariot. But it goes against our intuitions of the chariot's ^ entity to say either that the chassis is not part of the chariot or that the change of a tiny part creates an entirely different chariot. This intuition of identity, then, is no more than an intuition. It resides purely in the mind of the beholder and has no counterpart in the world outside the mind. What we take to be a person is in fact devoid of personal identity. Further arguments along this line are developed in Vasubandhu (pp. 461–479) and throughout the Buddhist academic tradition.

In Uddyotakara's Nyāyavārttika under Nyāya-sūtra 2.1.31–33 there is a discussion concerning whether or not it is justifiable to infer, when one sees the part of a tree that one is facing, that the tree has a backside as well. Uddyotakara represents the Buddhists as being unable to regard such an inference as justifiable. In order to use an observation of A to serve as a sign of B, say the Buddhists, one must have seen A and B together at some point and one must never have

seen A without B. But it is impossible to see the face and back of a three-dimensional object simultaneously, and so one can never legitimately conclude that there is a backside to a tree or any other large object that one is facing. The Naiyāyika is spared from having to hold such a patently silly view, thinks Uddyotakara, because he believes it possible to see not only the parts of the tree but the tree itself as a whole object. To see the front of a tree is to see a tree, and to see a tree is to know immediately that it must have a backside as well, since having sides facing all directions is part of what it is to be a tree. But the Buddhists, says Uddyotakara, continue to dispute this Naiyāyika claim by availing themselves of the following line of argument. We cannot say that the tree-as-a-whole resides entirely in any one part, such as a single leaf, for if that part were destroyed we should then have to say that the whole tree was destroyed. On the other hand, we cannot say that the tree-as-a-whole exists only partially in the single leaf, since that would entail admitting that the tree-as-a-whole is partite, which runs counter to our intuition that a whole is a unit rather than a mere assemblage of smaller units. And so, say the Buddhists, the tree-as-a-unit resides only in our mind and is not something that can be seen or in any way sensed as a datum of the world external to awareness.

In Pramāṇasamuccayavṛtti under kārikā 5.50, Dinnāga argues that proper names (yadṛcchāśabda), usually regarded as words that apply only to given individuals, are in fact a type of class noun, since what we ordinarily think of as individuals are in fact complex objects. And so, just as the word "cow" applies to a plurality of objects that the intellect gathers together and treats as a unit called a class, a proper name like "Devadatta" applies to a plurality of traits that the intellect collects and treats as a unit called a person. But persons and classes are both convenient fictions for the supposed unity of which there is no justification in the facts of the world external to consciousness.

In the examples given so far, objects that are usually regarded naively as units have turned out on closer reflection to be complexes that because of their complexity in fact lack unity. Atoms, on the other hand, are defined as absolute simples in that they are divisions of matter than which nothing could be smaller. But the only unity than which nothing could be smaller must be without any dimension at all and so must not be a unit of matter at all, since unlike all other matter the atom cannot occupy space and be resistent to other units of matter occupying the same space. The same arguments are applied in some Buddhist works to the smallest possible unit of time, the moment (kṣaṇa).

Individuality, then, is merely an idea (cittamātra), say the Buddhist academics, for reason shows that things that are given in experience as existing, such phenomena as persons and chariots, have no real individuality, while things that theoretically have true individuality, such things as atoms and moments, cannot really exist.

3.2. UNIVERSALS AND RELATIONS

At Pramāṇasamuccaya 5.1–4, Diṅnāga argues that the intellect's act of gathering a plurality of individuals together under a single concept is done without any basis in a real unity binding the objects together in the world external to consciousness. There are, in other words, no real universals that retain their unity while residing in a plurality of individuals. At Pramāṇasamuccaya 5.17 Diṅnāga argues that if there were such a thing as a universal like cowness, then either it would have to reside in its entirety in a single individual cow or it would have to reside partially in each individual cow. In the former case there would then be only one cow, which is not what we in fact observe. In the latter case the universal cowhood would have internal divisions and so would not be a unity, which runs counter to the

usual definition of a universal. Therefore universals do not reside in objects in any way at all, says Diṅnāga; rather, they are superimposed by the mind upon the objects of experience.

Using an argument that is parallel to the argument against the existence of real universals, Diṇnāga concludes that there are also no relations in the real world. For a relation is supposed to be a unity that binds a plurality of relata together. But if the relation is a real object in the world, then it must reside either wholly in a single relatum or partially in each, neither of which consequences is possible. Similarly, resemblance cannot be a real feature of objects in the world, for resemblance is a kind of relation. Resemblance, like any other relation and like universals, is something that the intellect superimposes upon the objects of experience rather than something that is a discovered feature of objects that they have outside our experience of them.

4.0. CONCLUSION

The doctrine that there is no permanent creator who superintends creation and takes care of his creatures accords quite well with each of the principles known as the four noble truths of Buddhism. The first truth, that distress is universal, is traditionally expounded in terms of the impermanence of all features of experience and in terms of the absence of genuine unity or personal identity in the multitude of physical and mental factors that constitute what we experience as a single person. As we saw above, the principal Buddhist arguments against the existence of God focus on the impossibility of permanence and unity in the causal structure of the universe. The second noble truth, that distress is the outcome of one's own unrealistic aspirations, is traditionally seen as ruling out the erroneous view that distress is something inflicted upon creatures by a cosmic superintendent or by other circumstances completely

beyond their control. The third noble truth, that distress can be eliminated by divesting oneself of all unrealistic aspirations, rules out the view that sentient beings, as powerless victims of a divine will, have no alternative to a life of constant frustration. And the fourth noble truth, that the best means of removing unrealistic desires is to follow a methodical course of self-discipline, counters the view that the road to happiness lies in obedience to divine will or in trying to manipulate the sentiments of a cosmic intelligence through prayer or ritual.

   Atheism, then, is a doctrine of fundamental importance within Buddhist religious philosophy rather than a mere accretion acquired through historical accident. As such it was a doctrine for which the Buddhist apologists during the academic period were strongly motivated to find good arguments. Although a variety of arguments were used, the most frequently used and the most powerful was a special application of the general Buddhist commitment to the principle that there can be no real unity binding together any plurality of things and that all notions of unity in plurality are therefore superimposed gratuitously upon experience by the experiencing mind. From this same principle the Buddhist scholastics in India also derived their commitment to nominalism or conceptualism in the realm of linguistic philosophy and to the theory of radical momentariness in the realm of metaphysics.

NOTES

[1] Davids and Carpenter (1890), p. 18.

[2] Davids and Carpenter (1890), p. 235.

[3] Davids and Carpenter (1890), p. 240.

[4] "Tayidam, bhikkave, Tathāgato pajānāti: 'Ime diṭṭhiṭṭhānā evaṃ-gahitā evam-parāmaṭṭhā evaṃ-gatikā bhavissanti evaṃ-abhisamparāyā ti.'" Davids and Carpenter (1890), p. 30.

[5] Chalmers (1898), pp. 214–228.

[6] "samudayañānam issarapadhānakālasabhāvādīhi loko pavattatī ti akārane kāraṇābhimānapavattarh hetumhi vippaṭipattiṁ." (Knowledge of the origin [of distress] puts an end to misconception with respect to causes, which concerns the belief that something is a cause when it is not, such as that the world arises owing to God, primordial matter, time or the inherent properties [of the material elements].) Buddhaghosa, p. 1156.

[7] "tasmān na lokasyaikaṁ kāraṇam asti. svāny evaiṣām karmāṇi tasyāṁ tasyāṁ jātau janayanti. akṛtabuddhayas tu varākāḥ svaṁ svaṁ vipākaphalaṁ cānubhavanta īśvaram apararh mithyā parikalpayanti." Vasubandhu, p. 102, under Abhidharmakośa 2.64.

[8] "evaṁ pradhāne'pi yathāyogaṁ vācyam." Vasubandhu, p. 102.

[9] "yadi hy ekam eva kāraṇam īśvaraḥ syeād anyad vā yugapat sarveṇa jagatā bhavitavyaṁ syāt. dṛśyate ca bhāvānāṁ kramasambhavaḥ. sa tarhi cchandavaśād īśvarasya syād ayam idānīm utpadyatām nirudhyatām ayam paścād iti. cchandabhedāt tarhi siddham anekaṁ kāraṇaṁ syāt. sa cāpi cchandabhedo yugapat syāt taddhetor īśvarasyābhinnatvāt." Vasubandhu, pp. 101–102.

[10] yatra bhinne na tadbuddhir anyāpohe dhiyā ca tat/
ghaṭārthavat saṁvṛtisat paramārthasad anyathā//AK 6.4//
Vasubandhu, p. 334.

[11] "yaugapadye'pīś varacchandānāṁ jagato na yaugapadyam. yathācchandam utpādanād iti cet." Vasubandhu, p. 102.

[12] "na. teṣāṁ paścād viṣeṣābhāvāt." Vasubandhu, p. 102.

[13] yathā tat kāranam vastu tathaiva tad akāranam/
yadā tat kāraṇaṁ kena mataṁ neṣṭam akāraṇam//PV 1.23//
(That thing [which like God is permanent] is exactly the same way when it is not a cause as when it is a cause. When it is a cause, by what is it so recognized? Why is it not believed [to remain) a noncause?) Dharmakīrti, p. 16.

[14] svabhāvapariṇāmena hetur ahkurajanmani/
bhūmyādis tasya saṁskāre tadviś eṣasya darśanāt//PV 1.27//
(Soil and so forth, owing to a transformation of nature, is a cause of a seedling's arising, since the seedling's attributes [such as growth] are observed in the soil's constitution.) Dharmakīrti, p. 17.

[15] svabhāvabhedena vinā vyāparo'pi na yujyate/
nityasyāvyatirekatvāt sāmarthyaṁ ca duranvayam//PV 1.25//
(No activity is possible without a change in nature. Since a permanent thing is unchanging, its capacity to act is hard to believe.) Dharmakīrti, p. 17.

[16] śastrauṣadhābhisaṁbandhāc caitrasya vraṇarohaṇe/
asaṁbaddhasya kiṇ sthānoḥ kāraṇatvaṁ na kalpyate//PV 1.24//
(Owing to his contact with a weapon or with medicines, Caitra gets wounded or healed. But a permanent thing that is disassociated [from activity] is not considered to be a cause.) Dharmakīrti, pp. 16–17.

[17] yathā viśeṣeṣa vinā viṇayendriyasaṁhatiḥ/
buddher hetus tathedaṁ cet ...//PV 1.28//
(But could this [creation of the world by God] be similar to a sense-faculty's contacting a sense-object, which without changing [serves as] a cause of awareness?) Dharmakīrti, p. 17.

[18] Jayanta Bhaṭṭa (pp. 453 f.) reports a Buddhist argument for momentariness based on the principle that if a thing has an intrinsic, self-realizing potential, then that potential must be constantly actualized, for otherwise there is no accounting for how the potential becomes actualized just when it does and no sooner or later.

[19] "kaś ca tâvad īśvarasyeyatā sargaprayāsenārthaḥ. yadi prītis tāṁ tarhi nāntareṇopāyaṁ śaktaḥ karttum iti na tasyām īśvaraḥ syāt tathaiva cānyasmin." Vasubandhu, p. 102.

[20] "yadi ceśvaraḥ narakādiṣu prajāṁ bahubhiś cetibhir upasṛṣṭaṁ sṛṣṭvā tena prīyate namo'stu tasmai tādṛśāyeśvarāya. sugītaś cāyaṇ tam ārabhya śloko bhavati.

> yan nirdahati yat tīkṣṇo yad ugro yat pratāpavān/
> māṁsaśoṇitamajjādo yat tato rudra ucyate//

Vasubandhu, p. 102.

[21] "kiṁ kimapi prayojanam anusaṁdhāya jagatsarge pravarttate prajāpatir evam eva vā. niṣprayojanāyaṁ pravṛttāv aprekṣāpūrvakāritvād unmattatulyo'sau bhavet." Jayanta Bhaṭṭa, p. 192.

[22] na ca krīḍāpi niḥśeṣajanatātaṅkakāriṇī/
āyāsabahulā ceyaṁ kartum yuktā mahātmanaḥ//
Jayanta Bhaṭṭa, p. 192.

[23] "kāraṇāntarabhedāpekṣaṣe vā neśvara eva kāraṇaṁ syāt. teṣām api ca kramotpattau kāraṇāntarabhedāpekṣaṇād anavasthāprasaṅgaḥ syād ity anantarabhedāyāḥ kāraṇaparaṁparāyā anāditvābhyupagamād ayam īśvarakāraṇādhimuktaḥ śākyapūrvīyam eva nyāyaṁ nātivṛttaḥ syāt." (On the other hand, if God is dependent on a variety of other causal factors to create the world, then he is not in fact the cause of the world. And if other causal factors arise one after another, then there would be an infinite regress, since each would require a variety of anterior causes. And so he who believes that God is the creator does not really reject the Buddhist position, since he too believes that the sequence of causal conditions, in which one comes immediately after the other, is beginningless.) Vasubandhu, p. 102.

[24] "ekarh khalv api jagataḥ kāraṇaṁ parigṛhṇatānyeṣāṁ arthānāṁ pratyakṣah puruṣakāro nihnutaḥ syāt. sahāpi ca kāraṇaiḥ kārakam īśvaraṁ kalpayatā kevalo bhaktibādaḥ syāt. kāraṇebhyo'nyasya tadutpattau vyāpārādarśanāt." Vasubandhu, p. 102.

[25] sarvotpattimatām īśam anye hetuṇ pracakṣate/
nācetanaṁ svakāryāṇi kila prārabhate svayam//TS 46//
Śāntarakṣita, p. 51.

[26] kintu nityaikasarvajúanityabuddhisamāśrayaḥ/
sādhyavaikalyato'vyāpter na siddhiṁ upagacchati//TS 72//
tathā hi saudhasopānagopurāṭṭālakādayaḥ/
anekānityavijñānapūrvakatvena niścitāḥ//TS 73//
(But [the world's] dependence upon that which is eternal, one, and of unchanging, omniscient mind is a conclusion that does not admit of proof. Because [the property that the theist cites as evidence for that conclusion, namely, the fact that the world is a complex product] is not pervaded [by the property of depending upon that which is eternal, etc.], for the property that is in need of proof does not extend [to all created things]. For example, such things as houses, staircases, gateways and towers are known to be preceded by many beings with changing mental states.) Śāntarakṣita, p. 63.

[27] buddhimatpūrvakatvaṁ ca sāmānyena yad īṣyate/
tatra naiva vivādo no vaiśvarūpyaṁ hi karmajam//TS 80//
nityaikabuddhipūrvatvasādhane sādhyaśūnyatā/
vyabhicāraś ca saudhāder bahubhiṁ karaṇekṣanāt//TS 81//
Śāntarakṣita, p. 65.

[28] Another issue that came to be frequently discussed by the academics after Diṅnāga's time was that of God as a revealer of truths to which mankind would without revelation have no access. As this issue has been treated in Hayes (1984), I have not discussed it any further in the present writing.

[29] pudgalaḥ saṁtatiḥ skandhāḥ pratyayā aṇavas tathā/
pradhānam īśvaraḥ kartā cittamātraṁ vikalpyate//
Vaidya, p. 34.

[30] This discussion occurs in Śāstri, pp. 19–20.

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Buddha and God: A Contrastive Study in Ideas about Maximal Greatness *

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This study has three main goals: first, to suggest what kind of enterprise Buddhist intellectuals were engaged in when they began to construct systematic theories about the properties essential to a Buddha; second, to offer a moderately detailed presentation of one such systematic theory, that of classical Indian Yogācāra; third, to engage in a critical, though very tentative and preliminary, comparison of this system with one example of a Christian intellectual's attempt to delineate the properties essential to God.

BUDDHA, BUDDHAS, AND BUDDHAHOOD

The term "Buddha" was first appropriated (though not invented) by Buddhists as an honorific title for a specific historical individual. Rather little is known about this individual; it is not even certain in which century he lived.[1] But it is clear that this person and only this person was the primary and original referent of the term. It is also true, however, that, even in the earliest texts available, it is possible to see the beginnings of a self-conscious attempt on the part of Buddhists to broaden the term, to delineate a universal "Buddhahood" (*buddhatā* or *buddhatva* in Sanskrit), and to assert that many individuals have partaken of this in the past and that many

more will do so in the future. That is, Buddhists started to think about what properties an individual must have in order to be a Buddha (and thus to give form and content to the universal Buddhahood) and also to tell stories about the past and future individuals who have had and will have these properties.

The first part of this process—that of describing the properties an individual must have in order to be a Buddha—can most easily be seen at work in the early lists of epithets with which "our" Buddha (Sākyamuni) is dignified. One example will suffice to give some flavor of this part of the process: the Buddha is often honored with nine epithets, the famous *iti pi so gāthā*, especially common in the Pali *Nikāyas*. He is called (1) worthy, (2) fully and completely awakened, (3) accomplished in knowledge and virtuous conduct, (4) well gone, (5) knower of worlds, (6) unsurpassed guide for those who need restraint, (7) teacher of gods and men, (8) awakened one, and (9) lord.[2] This list, especially when taken together with other common epithets of the Buddha such as *tathāgata* ("he who has come[or: gone] thus") or *anuttarasamyaksambuddha* ("unexcelled completely awakened one"), describes a figure of unmatched religious virtuosity, one whose profundity of knowledge and insight is supreme and whose skill in helping others toward salvation is unparalleled. In almost every epithet applied to the Buddha in the early texts this thrust towards the superlative is very clear: the goal is to predicate every possible good quality of the Buddha and to show that he has it to the greatest possible extent. Something of this can also be seen in what the later Theravādin commentators have to say about the ninefold epithet list just mentioned. Each of the epithets in it was analyzed and commented upon, and highly stereotyped glosses were developed for each. The ninefold list, though, had far less influence upon the systematic thought of the purely Indian schools; there, different lists of Buddha-properties (*guḥa*) became standard. But the

underlying intellectual process was the same: the development of and commentary upon these epithet lists show a desire to give a systematic analysis of what it is to be a Buddha, a desire to limn maximal greatness.

The other part of the process, that of telling stories about those past and future individuals who may appropriately be described by these epithets, can be clearly seen at work in the very early list of six Buddhas who preceded Sākyamuni,[3] and in the *Jātaka* stories, stories about the previous lives of Sākyamuni and (in some cases) his interactions with earlier members of the class, most prominently with that figure known as Vispaśvin.[4] Studying the development of this body of mythology and folklore, and the religious practices that were connected with it, would provide a great deal of insight into the ways in which ordinary, nonvirtuoso Buddhists then understood and related themselves to the universal category "Buddha." But such a study will not be the focus of interest in what follows. I am interested here, not in Buddhism "on the ground," but rather in Buddhism as analyzed and systematized by professional (i.e., monastic) intellectuals, that is, in the theories developed by these intellectuals about the properties essential to any possessor of Buddhahood.[5]

This is clearly an enormous field, one that has scarcely yet been touched by contemporary Western scholars of Buddhism. An ideal name for it, perhaps, would be "buddhology" by analogy with the Christian discipline of christology, were it not for the fact that the former term has already been appropriated by Westerners as a label for all scholarly discourse about Buddhism.[6] Another possible label for the enterprise, by analogy with the *īśvaravāda* used by Indian philosophers to denote that intellectual discipline which ascertains, through debate, the properties proper to *īśvara*, or God, might be *buddhavāda*. This could prove a useful label, even though it is not used, so far as I am aware, by any Indian Buddhist thinker. The non-

Sanskritist should bear in mind that I use this term to denote the discourse used by Buddhists to delineate the properties essential to any Buddha.

For the metaphysically minded it might be useful to think of *buddhavāda* as a systematic attempt to define and list those attributes which something must have in order,[7] within the constraints of Buddhist metaphysics, to be maximally great.[8] This, of course, is a purely formal definition; the term "greatness" has not yet been given any content. It will be given some substance in what follows. I mention it here only to give a sense of the kind of intellectual enterprise under way, and to suggest some (possibly) useful parallels with (somewhat) similar Western metaphysical enterprises. If there are any transcultural universals in the sphere of religious thinking, it is probable that among them is the impulse to characterize, delineate, and, if possible, exhaustively define maximal greatness. This tends to be done by listing, developing, refining, and arguing about just which attributes any possessor of maximal greatness *must* possess. Debates within Christian theological circles about whether, for example, God is atemporal—although they often deal with surface issues such as the logical problems created by asserting God's atemporality (can God be both atemporal and an agent?) or the hermeneutical problems created by denying it (since many of Western Christianity's most influential systematic thinkers after Augustine have made a great deal of God's atemporality, can any theology that denies it remain Christian?)—actually tend to rest upon deeper intuitions about whether atemporality is a proper attribute for a maximally great being to possess. So also, mutatis mutandis, for debates about whether and in what sense it is proper to say that a Buddha is omniscient. Such "deeper" intuitions are deeper not in the sense that they are more profound or more important than the "surface" logical and hermeneutical issues; they

are deeper only in the sense that they operate at a level of the individual's or tradition's psyche which is more difficult of access and which almost always appears only in the subtext of those texts openly debating such questions as God's atemporality or a Buddha's omniscience. Philosophers from all cultures tend not to openly discuss whether and why, say, the attribute of atemporality contributes to maximal greatness; it is usually perfectly (intuitively) obvious to those moving within a particular tradition that it does (or that it does not).[9] The overt debate then centers upon whether an account of the attribute in question can be given that is both internally coherent and consistent with other propositions whose truth the tradition holds dear.

One way, then, of understanding something of the metaphysical pre-conceptions of any religious tradition is to look at those attributes usually predicated by the tradition of any possessor of maximal greatness. I have this enterprise iri mind in the study that follows. This is, of course, only a propaedeutic for a broader comparative enterprise. It would, I think, be illuminating to engage in a systematic comparison of those properties which have been taken to be great-making by (some part of) the Buddhist tradition with those that have been taken to be great-making by (some part of) the Christian tradition and to try and determine why the lists differ when they do. If nothing else, intuitions about what makes for maximal greatness might be called into question. And challenges of this kind often force revealing post hoc rational justifications for profound religious intuitions, justifications from which there may be much to learn. I shall make some suggestions along these lines in what follows.

MATERIALS FOR THE ANALYSIS OF BUDDHAHOOD IN THE YOGĀCĀRA TRADITION

I shall now offer a descriptive analysis of the most important among those properties regarded as essential to any possessor of Buddhahood by the thinkers of preclassical and classical Indian Yogācāra. By the former I mean the thought expressed in those Yogacara texts which predate Asanga and Vasubandhu and which were clearly influential upon their thinking; and by the latter I mean precisely the early fifth-century C.E. synthesis produced by Asaṅga and Vasubandhu. I do not mean to imply that this synthesis was conceptually monolithic; such is certainly not the case. There are many interesting differences of emphasis (and even of substance) between the thought of Asaṅga and that of Vasubandhu, but these differences will not be of central importance for this study.

Even as regards the preclassical and classical Indian Yogācāra I shall be very selective and shall concentrate my attention upon two important ways in which the texts of this period analyze and describe what they take to be essential to Buddhahood. The first is analytical: there is a set of six categories used in Yogācāra texts (and elsewhere) to explore, analyze, and define the various dimensions of Buddhahood. The categories are (1) essential nature (*svabhāva*), (2) cause (*hetu*), (3) result (*phala*), (4) action (*karman*), (5) endowment (*yoga*), and (6) function (*vṛtti*). A set of categories such as this is a purely formal analytical tool; it can be used to analyze any concept whatever. One can ask of anything what it essentially is (*svabhāva*), where it comes from and what its effects are (*hetu* and *phala*), what sorts of actions it engages in (*karman*), what qualities it possesses (*yoga*), and how it functions (*vṛtti*). There are instances in Yogācāra texts of just this set of analytical questions being applied to topics other than Buddhahood. An example occurs in Asaṅga's *Abhidharmasamuccaya*[AS],[10] a "kind of classified lexicon of technical terms of the Mahāyāna abhidharma, i.e., the works of the Yogācāra school or the Vijñānāvādins," as Takasaki puts it.[11] In this text, the six

categories mentioned are employed in the context of a discussion of "philosophical analysis according to meaning" (*arthaviniścaya*). The general point of the passage is that if one wants to engage in an analysis of something's (some word's or concept's) meaning or referent, one should proceed by exploring the six dimensions of meaning in that term or concept (*ṣaḍarthān ārabhya viniścayo bhavati*). The six dimensions are the six categories just mentioned.[12] It seems likely that this more general use of the six categories in connection with the semantic analysis of terms was well known in the Yogācāra tradition, alongside the more specialized application to the analysis of Buddhahood,[13] although it is difficult now to disentangle which (if either) of these two uses was chronologically earlier.

The earliest surviving instance of an explicit application of the six categories to Buddhahood seems to be in a set of four verses found in two important early texts, the *Buddhabhūmisūtra* [BBhS] and the *Mahāyānasūtralaṅkāra* [MSA].[14] In these texts the verses are used to analyze "pure Dharma Realm" (*dharmadhātuviśuddhi*), effectively a synonym for Buddhahood and a term about which I shall have more to say later. The relative chronology of the BBhS and MSA is obscure. The former is a short sūtra,[15] and the latter is verse-*śāstra* in twenty-one chapters and 805 verses,[16] and while direct dependence of some kind is obvious, it is possible that the BBhS borrowed from the MSA, that the MSA borrowed from the BBhS, or that the four verses in question were a separate unit of tradition, used independently by the authors of both.[17] I incline to the view that the BBhS is earlier than the MSA and acted as a source for it, but the decision taken on this issue will not affect the central argument of this article. In addition to these four verses, the six categories are also used in the two concluding verses of the MSA, verses which are then cited by Asaṅga in the final chapter of the *Mahāyānasaṅgraha* [MS].[18] Naturally, there

are commentaries and subcommentaries on all of these texts; I shall make use of these as it seems necessary and relevant to do so.[19]

The sixfold method of analyzing Buddhahood was thus of importance in both the preclassical and classical periods of Yogācāra thought, the periods that interest me here. It also provides a convenient structure for an exposition of the topic, and in what follows I shall have a good deal to say about Buddhahood's essential nature and action. I shall have less to say about its cause and result since under these categories come such issues as the practices that need to be engaged in order to reach Buddhahood (important, but not the central concern of this article), and how these practices issue in their desired end. I shall also have relatively little to say about Buddhahood's "function" (*vṛtti*) since this has to do with Buddhahood's internal economy, with the differentiation of function according to the three-body (*trikāya*) doctrine. This also is a fascinating topic, but one which is largely beyond the scope of this paper. The sixth category, Buddhahood's "endowment" (its *yoga*, literally that to which it is yoked or joined) has to do with the specific properties or attributes which any buddha has. In expounding this aspect of Buddhahood, epithet lists once more become significant, and the production of such lists is the other main way in which Yogācāra theorists present Buddhahood.

The list of Buddha's good qualities, which had become standard by the time of Asahga (and probably earlier), is usually said to have twenty-one members (though there are other ways of splitting it up which yield a different number).[20] Its locus classicus is an extended verse hymn to the good qualities of Buddha found,[21] inter alia, in the final chapter of the MSA and the final chapter of the MS.[22] It is likely that these verses formed a unit of tradition independent of both these texts and earlier than either. The Tibetan canonical collection preserves these verses as an independent work,[23] and a similar list is

found in the *pratiṣṭhā* chapter of the *Bodhisattvabhūmi*, as well as in the AS.[24] It is thus a list of great importance for the tradition; some of its members go back to early Buddhism, but several show a characteristically Yogācāra emphasis. I shall make occasional use of this list of Buddha properties in what follows. A full study of ideas about Buddhahood in classical Indian *Yogacara* would, naturally, require a detailed analysis of all these epithets, but I shall not be able to undertake that here.

In addition to both the systematic analysis of Buddhahood through the application of the six categories, and the descriptive analysis preserved in the lists of Buddha's good qualities, the texts are replete with images, similes, and metaphors used to give an impressionistic description of what Buddha is like. Many of these are very suggestive, and I shall draw upon them in what follows, especially upon those preserved in the ninth chapter of the MSA.

BUDDHA'S ESSENTIAL NATURE

The terms used to define and expound what Buddha essentially is cluster around two related but conceptually distinct centers of meaning. The first has to do with the macrocosm, with everything there is just as it is. The key terms here are "Suchness" (*tathatā*) and "pure Dharma Realm" (*dharmadhātuviśuddhi*).[25] The second has to do with the microcosm, with a certain kind of spontaneous, precise, unmediated awareness, located in an apparently individuated continuum of mental events but universal in scope and free from all obstructions, unhindered by deliberation or volition. The key term here is "*Jñāna*" and its derivatives, a term which, in the contexts relevant to this investigation, spans in semantic range the English words "knowledge" and "awareness."[26]

Buddhist thought has always homologized the macrocosm and the microcosm, the cosmos and the psyche. Altered states of consciousness, usually seen as the products of meditational practices of various kinds, are identified with places, cosmic realms in which a religious virtuoso may be reborn as a direct result of her meditational attainments. It is thus not surprising to find an intimate connection in Yog"c"ra thought between Buddhahood understood as cosmic fact and Buddhahood understood as particular cognitive condition. The one mirrors the other and is not distinct from it. Suchness and the pure Dharma Realm, terms denoting the totality of things as they are, therefore also denote the "awareness of all modes of appearance" (*sarv"k"rajñaṭ"*) and "mirror-like awareness" (*ādarśajñāna*), technical terms to which I shall return. This is so since any cognitive event which is genuinely free from obstruction and which is genuinely an instance of direct unmediated awareness makes no separation between itself and its objects. The totality of such events is thus nothing other than the totality of all that there is: Suchness. So Buddhahood in its essential nature is first identified with the macrocosm, with everything there is. It is then identified with the microcosm, with the purified awareness that occurs within a specific mental continuum at a particular time, the time of awakening (*bodhi*) to Buddhahood (*buddhatā*) through a radical transformation (*parāvṛtti)/parivṛtti*) of the discriminatory and imaginative basis (*āśraya*) of consciousness, a transformation which permits direct undiscriminating awareness (*nirvikalpajñāna*) to occur. Buddhahood is thus identical with everything, as the MSA explicitly says,[27] and this is understood to mean that Buddhahood is the awareness of everything, as the MSA also says.[28] This in turn makes sense if and only if there is no ontological distinction between knowledge and its objects.

The essential nature of pure Dharma Realm (here a synonym for Buddha) is defined, in the first of the four verses that apply the abovementioned sixfold analysis to that concept, in the following manner:

It is defined by the purification of the Suchness of all things from the two obstacles.

It is defined by imperishable mastery over the awareness of things and the awareness which has that as its object.[29]

This verse makes the connection between the cosmic and the psychological quite clear: Buddha is both "the purification of the Suchness of all things" (cosmic dimension) and "awareness of things and ... awareness which has that as its object" (psychological dimension). This reference of two kinds of awareness (*vastujñāna* and *tadālambajñāna*) as constitutive of Buddhahood introduces an important Yogacara theme: the distinction between the awareness which occurs at the moment of awakening to Buddhahood, and the awareness which makes it possible for Buddha to function in the world after this awakening has occurred. Sthiramati and Asvabhāva, in their comments upon this verse as it occurs in the MSA, identify "awareness of things" with "subsequently attained awareness" (*pṛṣṭhalabdhajñāna*), a kind of awareness which is variegated in that it has a rich and complex phenomenological content but still does not discriminate or imaginatively construct any differentiation between subject and object. The "object" of this kind of awareness, insofar as it can be said to have one that is other than its occurrence, is simply the appearance of things as they really are—that is, as radically interdependent (*paratantra*) one upon another.[30] The commentators then interpret the "awareness which has that as its object" as an awareness turned directly towards Dharma Realm, free from all obstacles (*āvaraṇa*) and constructive imaginings.[31] It is this awareness which, traditionally in Yogācāra, is called simply *nirvikalpajñāna*, an awareness free from all constructed imaginings. It

is usually described apophatically;[32] when anything positive is said about it, it is often that it consists in the concentration of the practitioner's mind upon Suchness, the real nature of all things, without any conceptual or verbal proliferation (*prapañca*) of any kind and without any active application (*abhisamskr*—) of the mind to any object.[33] Such an awareness, it would seem, is without intentional objects and without any of the language-based activities of classification and categorization that are so important to, indeed constitutive of, everyday awareness.

Partakers of Buddhahood obviously continue to function in the world after becoming Buddha. Buddha continues to act as if experiencing the variegated world in much the same way that I do: it responds to sensory input, appears to initiate actions, preaches sermons and so forth. And yet Buddha cannot be experiencing the variegated world in every respect as I do since it does not engage in the imaginative construction of a lifeworld (*Lebenswelt*) through the categories of "person" and "thing," whereas imaginative construction of just these categories colors, phenomenologically, all of my experience.[34] It is subsequently attained awareness that enables Buddha to function in the world without constructing these categories, without allowing the least tincture of imagination in its awareness. Asaṅga, in the MS, uses some images which clarify the relationship between that fundamental unconstructed awareness (*maulanirvikalpajñāna*) whose object is simply pure Dharma Realm, and the subsequently attained awareness which follows it.[35] The former, he says, is like a dumb person who finds something she has been looking for; the latter is like that person with the faculty of speech. Communication is not possible in the former condition; it becomes possible in the latter. Alternatively, fundamental unconstructed awareness is like a person with his eyes shut; subsequently attained awareness is like that person with opened

eyes. And, finally, fundamental unconstructed awareness is like empty space, while subsequently attained awareness is like that space filled with colors and forms.[36]

Subsequently attained awareness, then, is that which makes possible all of Buddha's prescribed actions aiming at the salvation of others; it makes, above all else, discourse and communication possible, the sine qua non of everything else. Both kinds of awareness are free from improper imaginative construction, but fundamental unconstructed awareness appears also to be empty of all phenomenological content, while subsequently attained awareness is rich and variegated in content even though none of the "objects" that appear in it do so as substantive and independent existents. Rather, subsequently attained awareness consists in a series of causally connected images of representations (*vijhapti*), none of which is characterized phenomenologically by a dualistic subject-object structure.

Śīlabhadra, in his comments upon the verse cited above, agrees in substance with what Asvabhāva and Sthiramati say in their commentaries upon the MSA. He adds, though, the term "mirror-like awareness" (*ādarśajñāna*) as a label for both kinds of awareness mentioned in the verse.[37] He says, as do Asvabhāva and Sthiramati, that the proper object of mirror-like awareness is things experienced in their aspect of radical interdependence; but he also stresses that, because mirror-like awareness is coextensive with everything that exists (with, as he puts it, the limits of *saṃsāra*), and because all of its awareness is direct and unmediated, one must also say that its object is Dharma Realm.[38] Śīlabhadra's use of the term "mirror-like awareness" here thus brings together fundamental unconstructed awareness and subsequently attained awareness and shows that they are not, finally, distinct. The mirror of mirror-like awareness reflects

pure Dharma Realm when empty of content and the multitude of interdependent representations or images when full of content.

Mirror-like awareness in turn is identical with the "awareness of all modes of appearance" (*sarvākārajñatā*).[39] This is a special kind of omniscience available only to Buddha; its object is all the "modes of appearance" (*ākāra*) there are. "Modes of appearance" is a technical term in Buddhist epistemology, psychology, and theory of perception. Briefly, it stands for something like a particular mental event's phenomenological content, the way in which that event appears to its subject. The *Abhidharmakośabhāsyam* says that the mode of appearance belonging to any mental event is simply the mode under which that event grasps its object.[40] So, for example, when I have the (perceptual) mental event of apprehending a maple tree visible from my study window, that mental event will have the complex mode of appearance "appearing maple-tree-in-the-autumn-ly" (to borrow Chisholmian terminology). Such a complex mode of appearance could, of course, be further analyzed, for example, into the modes of appearance "appearing red-and-yellow-leaf-ly" and so forth. It is important to realize that, both for Buddhist cognitive theory and for common sense, the occurrence and kind of a specific mode of appearance is not determined solely by the presence and kind of an object (*artha* or *viṣaya*), but also by the presence and condition of the subject for whom the appearance occurs. When I see a maple tree and when Buddha sees one, or rather when Buddha's mirror-like awareness reflects one, the phenomenology of the two experiences differs dramatically. Mine is dualistic: the maple tree appears to me as if it were an external object, ontologically other than me, its perceiver. Further, my awareness of myself as an enduring, perceiving subject will also be an important element in the phenomenology of my experience. None of this is so for Buddha's unconstructed awareness. This is

illustrated by the following extract from the *Madhyāntavibhagabhāṣyam:* "[An object] appears dualistically, [split into] subject and object, because it arises [in awareness] with that mode of appearance (*ākāra*). Seeing that [the object] does not exist in the way that it appears [i.e., dualistically] is what not being under a misapprehension about it means."[41] "Not being under a misapprehension about" objects of experience is a condition Buddha never leaves. The phenomenology of its experience is not tainted by improper imagination or constructive activity, and the scope of its awareness is universal, as the use of the modifier "all" in the phrase "the awareness of all modes of appearance" suggests.

There are real and complex problems involved in sorting out exactly what is meant by saying that Buddha is aware of *all* modes of appearance. If modes of appearance occur to normal experiences in temporal sequence, and if temporality is constituted by the causal process which links these modes of appearance into sequence (as I think Yogācāra theorists would have to assert), then it would seem that *sarvākārajñatā* must be an atemporal cognitive event. This is so because its phenomenological content is not characterized by causal succession. Rather, it must be the case that the entire interdependent web of representations (which constitutes Suchness) is changelessly present in a single atemporal event. On this reading, the category of Buddhahood denotes the most radical imaginable homologization of the microcosm to the macrocosm. The individuated continuum of mental events which constitutes a "person" prior to the attainment of Buddhahood (the microcosm) ceases to be individuated and becomes what it really is: that "thingness of all things" (*sarvadharmānāṃ dharmatā*) which is the macrocosm. This in turn explains why Buddha is one and undifferentiated when considered as it is in its Dharma Body (*dharmakāya*), and also why this Dharma

Body must be regarded as eternally the same, not subject to any kind of change.[42]

This view of Buddha's essential nature as the changeless totality of a web of interconnected and interdependent representations is often expressed in these texts through the language of paradox. This appears to be, at least in part, because of a desire to avoid imputations of the heresy of "eternalism" (*śāsvatavāda), a* basic Buddhist error. Buddha, understood as the changeless, eternal, pure Dharma Realm, does not exist eternally as some specific existent might exist. When the texts say (as they frequently do) that, given contradictory pairs of predicates such as "existence" (*bhāva*) and "nonexistence" (*abhāva*), neither applies to Buddha,[43] the intention is not to reject the principle of noncontradiction in favor of some "mystical" transcendence of opposites.[44] Rather, the intention is to show that the kind of existence properly to be predicated of Buddha is not the kind that be predicated of any other existent. The "method of indeter- minacy" (*avyākṛtanaya*) to be applied to such questions frequently means, in the hands of the Yogācāra theorists, a use of the theory of the three aspects (*trisvabhāva*) under which experience may occur.[45] So, in his comments upon MSA 9.24, in which the predication of both existence and nonexistence is denied in the case of Buddhahood, Sthiramati explains that the kind of existence denied is that which belongs to constructed or imaginary (*parikalpita*) entities, while that which is affirmed is that which belongs to the perfected (*pariniṣpanna*) aspect of experience which is, in the end, identical with Suchness.[46]

The overall picture of Buddha's essential nature is then the following: awakening (*bodhi*) can occur in a specific mental continuum at a particular moment. When this happens, unconstructed awareness results; this is a moment of pure empty consciousness in which the mirror of awareness reflects nothing.[47] It

is followed—perhaps immediately—by subsequently attained awareness, which consists in a seamless interconnected web of representations or images. This condition does not change. It is a complex atemporal event, characterized by the complete absence of dualistic awareness; it is nonverbal and nonconceptual, and since no change occurs therein, no volition belongs to this condition. How, given that this is what Buddha essentially is, can Buddha act for the benefit of sentient beings? To this I now turn.

BUDDHA's ACTION

The principle conceptual problem involved in explaining how Buddha acts concerns the proper relation between the temporal and the atemporal, the changing and the changeless. With the temporal goes volition (the free decision to undertake a particular course of action at a particular time), deliberation (the process of choice between alternative possible courses of action), responsiveness to changing circumstances, and, finally, the temporally located event of action itself. With the atemporal goes the absence of all this. And if, as I have suggested, Buddha is seen by the Yogācāra tradition as essentially changeless and so atemporal, and as not being capable of spatial location,[48] the problem of accounting for its apparent action in time and space becomes pressing.

The first half of the third of the four verses applying the sixfold analysis to Buddhahood (mentioned above) describes its action (*karman*) in the following terms: "Its action consists in proper methods, using magical transformations of body, speech, and mind."[49] Of key importance here is the concept of "proper methods" (*upāya*), a concept further specified by the phrase "magical transformations (*nirmāṇa*) of body, speech, and mind." All the commentators on this verse give numerous examples of such magical transformations. Buddha might, for example, transform its

body to look like that of Indra or Brahma, or it might transform the minds of fools so that they are able to understand Buddhist teaching or even to teach it themselves.[50] Śīlabhadra is the most systematic and detailed in his exposition of these magical transformations. He divides the transformations of body and speech into three kinds—those transformations that pertain to oneself, those that pertain to others, and those that do not pertain to any person but instead use some other object as their basis.[51] In the case of magical transformations of the body, an example of the first kind is the transformation of one's own body into that of a wheel-rolling monarch (*cakravartin*); an example of the second kind is the transformation of a demon's body into a Buddha's for the purpose of encouraging others to act correctly; and an example of the third kind is the transformation of plain earth into a radiant Buddha field. The key point is that, according to the half-verse quoted, Buddha's action simply consists in magical transformations of these kinds and that these transformations are its *upāya*, its "proper method." They occur entirely in accordance with the needs of as-yet-unawakened sentient beings.

The exposition given so far makes it sound as though the magical transformations are volitional: that Buddha looks around at the needs of sentient beings and decides to meet those needs at particular times and in particular places by magically transforming itself. Given the picture presented earlier of what Buddha essentially is, this cannot be the correct interpretation, and there is much in the texts to suggest that it is not. First, the use of the word *nirmāṇa* in the verse cited indicates that these transformations are not real. Their occurrence does not constitute any real modification in Buddha, much less any temporally indexed volitions occurring therein. The necessary and sufficient conditions for the occurrence of any one of these transformations are not located in Buddha but in the

(apparently) changing conditions of sentient beings. The way in which Buddha's soteriological actions appear (the kind and apparent spatiotemporal location of its magical transformations) is thus determined solely by the condition of the recipients of these (apparent) transformations. This is suggested, for example, by the simile (*upamā*) of the moon and the broken waterpots:

> Just as the moon's image is not visible in a broken waterpot,
>
> So Buddha's image is not visible among defective beings.[52]

Sthiramati's comments make explicit what is intended here:[53] a particular continuum of mental events, defined by such things as anger and desire and the actions that are their concomitants, is likened to a broken waterpot. The continuum in question is "defective" in that it does not perceive that it is itself essentially the same as Buddha, and it is this misperception, coupled with the relevant defilements, that causes Buddha's proper image not to appear in it.[54] Naturally, if a perception of itself as essentially identical with Buddha were to occur in the continuum in question, this would constitute awakening. The continuum in question would become Buddha. But this is not dependent in any way upon anything that Buddha does.

The nonvolitional nature of Buddha's apparent actions for the benefit of sentient beings is further clarified in the MSA:

Buddhas do not say "I have brought this one to maturity" or "This embodied being should be brought to maturity" or "I am now bringing this one to maturity."

Instead, creatures approach maturity without effort.[55]

Sthiramati explains that the verse shows Buddha to be without any intention or calculation in regard to bringing beings to maturity. It is not that at one time Buddha shows no concern for a particular being and then later decides to help that being on towards realizing its

Buddhahood. Buddha, in apparently acting for the benefit of other things, does so without moving from the pure Dharma Realm with which it (in its pure Dharma Body) is identical.[56]

The similes used to impressionistically describe the activity of Buddha, in the MSA and elsewhere, also stress this effortless (*ayatna*) and spontaneous (*anābhoga*) action.[57] It is likened, among many other things, to the sun's effortless ripening of a field of grain,[58] to a gong from which sound comes without anyone striking it,[59] and to a radiant jewel which gives out its light naturally, spontaneously, and effortlessly.[60] The magical transformations in which Buddha's actions consist are therefore not indicative of any changes or volitions in Buddha. They are produced solely by the (ultimately illusory) changes in the defiled and obstructed condition of sentient beings and so belong to the realm of the imaginary (*parikalpita*). Buddha actually, changelessly, does one and the same thing without variation; variation in Buddha's action is apparent only from the perspective of the recipients of such actions.[61] A final illustration of this point:

> Just as when one ray is emitted all rays are emitted
>
> In the case of the sun, so also in the case of the emission of Buddha's awareness.[62]

The point of this verse is that Buddha's awareness (*jñāna*) cannot be chopped up, divided, or located in one place or time over against another. Wherever and whenever any of it is, all of it is, identically. And since, as I have suggested, Buddha's awareness is coextensive with everything that exists, this is not surprising. The commentaries to this verse make the point abundantly clear: whenever and wherever Buddha acts, it acts fully, completely, and identically.[63]

Technically, Buddha's actions are made possible by a special apparent modification of that mirror-like awareness in which it essentially consists. This modification is given the label "awareness which does what needs to be done" (*kṛtyānuṣṭhānajñāna*).[64] This

apparent modification of Buddha's changeless mirror-like awareness is produced by the needs of sentient beings (*sarvasattvārthakr*—); it does not, of course, reflect any real change in that awareness which constitutes Buddha, just as the magical transformations in and through which Buddha seems to act are not alterations of Buddha's single, unique, atemporal act. The awareness which does what needs to be done functions through its connection with Buddha's body of magical transformation—it is this body which allows the changelessly shining moon of Buddha's Dharma Body to appear reflected in various ways in the water of the variously shattered, cracked, and disturbed water- pots that are sentient beings.[65]

The radical singularity and undifferentiatedness of Buddha's actions is given trenchant expression by Asariga in the MS. There, the activity (*karman*) of the "Dharma Realm of Buddhas" (*buddhānāṃ dharmadhātuḥ*) is divided into five categories, all of which can be subsumed under the general heading of "proper method" (*upāya*). It is this proper method which causes Buddha's action to appear differently at different times, even though in reality it is always the same. Asariga explains why this is in the following verse:[66]

Actions in the world are differentiated according to differences in cause, basis, what needs to be done, aspiration, and application.

Since there are no such differences for the protectors of the world, [their actions] are also [not differentiated].[67]

Both Vasubandhu and Asvabhāva give detailed explanations of this verse;[68] they both stress that since none of the usual criteria by which one action is differentiated from another apply in the case of Buddha, and since all Buddha's actions are spontaneous (*anābhoga*) and effortless (*ayatna*), it therefore follows that there can be no differentiation of one Buddha's actions from another, much less an individuation of one particular action from another.

The conceptual problem with which this section began, that of relating an apparently atemporal, changeless Buddha to a set of temporal and (apparently) changing sentient beings and théir needs, is thus solved by denying that there is such a relation. Buddha does not act in time; Suchness is always (atemporally) pure, and so there really are no impurities requiring removal. The apparent temporal appearances of Buddha in its bodies of magical transformation are just that—apparent and magical. The objects of such magical transformations (sentient beings and their needs) are also apparent, belonging to the imagined (*parikalpita*) realm of *māyā*, of illusion and change. The reality is that all beings are Buddhas-in-embryo and so do not need saving.

It may perhaps be doubted whether this is an altogether satisfactory resolution of the issue, even on the purely conceptual level. Sufficient connection between the temporal and the atemporal must be allowed to permit the (apparent) defilement of the (really) pure Dharma Realm to occur, as well as to allow the (apparent) removal of these defilements at the moment of awakening. In so far as the Yogācāra theorists explain how this connection operates, they do so by using the three-aspect theory, a theory which classifies experience into three possible modalities.[69] The process of imaginary construction which constitutes the imagined aspect of experience (*parikalpitasvabhāva*) is seen as beginningless and fundamentally unreal,[70] and the question of the origin of that "concern with what does not exist,"[71] which marks the *parikalpita*, is, when asked, answered only with a series of similes in which it is likened to various kinds of magical illusion (*māyā*).[72] Among these magical illusions are counted the "remedial practices" (*dharmāḥ prātipākṣikāḥ*) of Buddha —a category that includes all Buddha's actions for the benefit of sentient beings.[73] The operation of the constructive imagination is thus a fundamentally unreal process, a process that carries within

itself the seeds of its own destruction. These seeds mature and bear fruit only at the moment of fundamental transformation, when Suchness appears as it really is. Even this transformation, though, really transforms nothing; like one magical man destroying another,[74] the unreal is removed by the unreal. The real (atemporal) thus does not contact the unreal (the atemporal).

This position was often taken by Madhyamaka critics of Yogācāra to reveal a fundamental weakness in the Yogācāra conceptual scheme. The dilemma is this: mirror-like awareness is, according to Yogācāra theory, genuinely nondualistic; either it has no connection of any kind with the dualism of ordinary cognition, in which case it is impossible to account for the occurrence of such dualism, or it does have such a connection, in which case one cannot assert that mirror-like awareness is genuinely nondualistic.[75] Whether the objection can be answered depends on one's reading of the *trisabhāva* theory in all its ramifications, a complex issue that goes far beyond the scope of this article. Here I can only note the difficulty.

MAXIMAL GREATNESS: BUDDHA AND GOD CONTRASTED

To return to the terminology and goals set forth at the beginning of this study: what has been learned about the properties regarded as self-evidently great-making (and thus self-evidently to be predicated of Buddha) by the Yogācāra tradition? Using the language of the texts, something like the following list seems appropriate: first, purity (*viśuddhi*, applied universally as *dharmādhatuviśuddhi*); second, omnipresence (*sarvagatatva*); third, universal awareness (*jñāna*, especially *ādarśajñāna* and *sarvākārajñāna*); fourth, identity with everything that exists, and non-existence as a separable entity (*advayalakṣaṇa* as interpreted through the trisvabhāva system); fifth,

absence of volition, decision, effort, choice (*anābhogatva, ayatna*, especially *ekatva* and *apratiprasrabdhatva* as applied to Buddha's *karman*). More freely stated: the texts studied here regard as great-making properties those that reduce individuality and all that goes with it, including especially agency, temporality, and volition. Such properties reduce the sense of separateness from other (apparent) entities, the sense of existence in time, and the need for (and ability to) make free decisions, to react to (apparently) changing stimuli. Increased is the sense of unity, the scope of awareness (which ideally becomes coextensive with everything that exists), and freedom from changing emotional states. Presupposing a certain metaphysic, discussed already in sufficient detail, this means in effect that the texts regard freedom from intellectual error as the basic great-making property: Buddha does not experience itself as an agent (and is not an agent) because there are, ultimately, no agents. Buddha has no volition because, ultimately, the (apparent) occurrence of volitions belongs only to the unreal, imagined (*parikalpita*) realm. Buddha's awareness (*jñāna*) is universal in scope because there is nothing (no obstacles, neither *kleśa-* nor *jñeyāvaraṇa*) to prevent it from functioning as it should, which is to be nondualistically directly aware of everything. Such awareness is seen by the tradition as simply identical with everything there is just as it is—with Suchness, pure Dharma Realm, and the perfected aspect of experience (*pariniṣpannasvabhāva*). Further, Buddha exists atemporally and has no volitions just because both time and that which has temporal location are constituted by the causal process, and the causal process is itself a part of the imagined realm and thus has no reality.

All that has been said about Buddha moves at a high level of generality; refinement and precision both could and should be added to the picture. This could be done both by differentiating more carefully than I have done here among the different strands

and emphases present in preclassical and classical Yogācāra and by formulating more precisely and criticizing more thoroughly some of the conceptual connections present on and beneath the surface of the texts. But these are tasks for further research, and for the purposes of this study there are virtues in keeping things on a fairly abstract and general level. Not least among these virtues is that I want to conclude this study with some comparative remarks. My object of comparison here will be the sketch of Christian theism given by Thomas V. Morris, a Christian philosophical theologian, in what I judge to be a methodologically important and very suggestive piece.[76] In this piece, Morris sets forth some of the terminology used in this study ("great-making properties," "maximal greatness," and so forth) and gives a brief outline of those great-making properties which he thinks "would accord with the intuitions of most perfect being theologians."[77] The outline follows; the great-making properties are listed in ascending order of greatness:

God is conceived of as: (1) conscious (a minded being capable of thought and awareness); (2) a conscious agent (capable of free action); (3) a thoroughly benevolent conscious agent; (4) a thoroughly benevolent conscious agent with significant knowledge; (5) a thoroughly benevolent conscious agent with significant knowledge and power; (6) a thoroughly benevolent conscious agent with unlimited knowledge and power who is the creative source of all else; (7) a thoroughly benevolent, necessarily existent conscious agent with unlimited knowledge and power who is the ontologically independent creative source of all else.[78]

Morris's hope that most perfect being theologians (those whose governing motive in thinking about God is to ascribe to him all and only those properties taken to be great-making and to ascribe them in the greatest possible degree consonant with coherence) will find their intuitions in accord with his sketch is unlikely to be fulfilled, even if attention is restricted to theologians shaped by the Christian tradition. Intuitions simply vary too much and are too difficult to ground, as Wainwright has already pointed out.[79] And if we include our Buddhist Yogācāra theorists under this rubric, then Morris's hope

is quite certain to be disappointed. His sketch, like all such sketches, represents a partial and tendentious abstraction from the widely varied traditions of thought about God found in the Christian tradition.[80] I choose it because its *Tendenz* is one with which I am very much in sympathy: if it is understood as a prescriptive reading of the Christian tradition of the form "this is what Christians should believe about God if they interpret their tradition aright," then it seems to me that its prescriptions are, in essentials, correct (though I cannot, of course, argue for this here). But even leaving aside this question of *Tendenz*, Morris's sketch operates at just about the right level of generality for my comparative purposes and makes the key points of metaphysical disagreement between (this reading of) Christian theism and the (Yogācāra) Buddhist view of Buddhahood very clear.

The first and most obvious point of disagreement as to which properties should properly be seen as great-making has to do with the question of free agency. Suppose we understand the concept of free agency to include the idea that there is something other than the agent to be acted upon; that actions are spatiotemporally located; and that, in the case of any particular action of a given free agent, the action could have been other than it was. Something like this may be what Morris has in mind in his ascription to God of the great-making properties of freedom and agency (ele- ments 1 and 2 in his list). There are, of course, other and more recherché concepts of agency used by Christian theologians in thinking about God's actions, especially by those for whom atemporality and immutability are great-making properties. Many of thesé are fraught with severe and complex conceptual problems: How, for example, if God is truly immutable and atemporal, can he properly be said to enter into relationship with time-bound and mutable existents such as human persons? How, if God is truly immutable and atemporal, can he know

certain things that the doctrine of his omniscience (see Morris's list, points 6 and 7) seems to require that he should know—for example, the truth of any temporally indexed proposition? And so forth. It is not my purpose to enter into, much less to adjudicate, these debates; they are complex and have generated an enormous literature.[81] For the purposes of this study, the main point is the following: if the idea of agency outlined above is accepted as a great-making property proper to God (and perhaps Morris would accept it), we have a splendid example of a property that is clearly great-making for one tradition and equally clearly not great-making for another. If, on the other hand, agency in this sense is rejected or modified by attempts to combine it with doctrines of immutability and atemporality, with distinctions between God's essential and accidental properties, and so forth—as would be done, perhaps, by many Thomistic thinkers— this seems always to be done in a way that preserves both God's transcendence (the idea that he is not just one more existent in the world and that there are existents which he transcends) and God's genuine salvific interactions with temporally bound existents in a historical process that has independent reality. Here, of course, the doctrine of the incarnation is paradigmatic, but it is not the only constraint on Christian thought in this area. So even if the concept of agency is modified by combining it with doctrines of atemporality and immutability, certain key contrasts with the Yogācāra view of maximal greatness are still preserved. For a Yogācāra theorist, if Buddha's agency were conceived in either the strong sense (in accord with my outline thereof) or in a modified sense (in accord with an atemporalist view of God), Buddha could not be Buddha. Agency, in either sense, is simply not a great-making property for the tradition.

This difference in intuitions concerning the status of the properties of agency, freedom, and temporality is based upon and grows

naturally out of fundamental metaphysical differences between Buddhists and Christians. It is surely just because Christian metaphysicians tend to conceive of human beings as *imago dei* and to think of them as independent and real agents, possessors of—indeed defined by—an eternal essence, a soul which exists independently (which has *svatantratva*) of all other existents except its creator, and just because Christian metaphysicians have, as a general rule, not seriously called into question the reality of the historical process and of the (temporally located) creative event which began it, that they naturally, intuitively, regard as great-making those properties which exemplify and magnify to the greatest possible extent (within the bounds of coherence) the values of agency-in-time, of creation, and of loving con- cern for the inherently valuable other (see points 3–5 of Morris's definition). Likewise, it is just because Buddhist metaphysicians have always regarded agency as a particular species of event rather than as a property of persons,[82] have always judged that persons, conceived as independent entities, have only imaginary status, and have always judged that the processes of concept formation, analysis, and categorization (*prapańca, vikalpa*, etc.) are inherently productive of error and necessarily inferior to direct unmediated awareness, that they naturally, intuitively, regard as great-making those properties which exemplify and magnify to the greatest possible extent (within the bounds of coherence) the values of agentless spontaneity, universal and concept-free direct awareness.

These two sets of intuitions about what makes for maximal greatness are obviously not reconcilable. This is precisely because they are intimately, symbiotically, linked with irreconcilable metaphysical systems. A Yogācāra thinker, faced with Morris's list of great-making properties, would judge their stress on agency, freedom, benevolence, and ontological independence (for this last

see item 7 in Morris's definition) to be hopelessly, perhaps even laughably, in error. Even if, from the Yogācāra perspective, there could be an existent in possession of the properties listed by Morris, such an existent would not be very great. It would be deceived about its own ontological status and that of others to precisely the extent that it thought of itself as other than them and as independent of them. It would be deceived if it thought that the constructed product of its own awareness reflected Suchness, things as they really are. It might nevertheless exist, at least in the same way that ordinary human agents seem to themselves to exist, and might seem, both to itself and to those human agents who receive its acts, to be of great salvific significance. But it could not be, in Morris's words, "the ontologically independent creative source of all else" since, to a Yogācāra thinker (and to most Buddhists), the description is oxymoronic. It is axiomatic for the Yogācāra tradition that radical interdependence (*parantantratva*) is a defining characteristic of all existents. Ontologically independent creativity is an unexemplified property, and if, *per impossibile*, it should be exemplified, it would certainly not be great-making. It is a commonplace of Buddhist antitheistic arguments that God, if he exists, is deluded about his own properties and status. Buddha, by contrast, since it is defined by universal direct awareness, and since that awareness is identical with the sum of all members of the set of interdependent existents (which is itself co-existent with the set of all existents), both exists (as *pariniṣpannasvabhāva* and *dharmadhātuviśsuddhi*) and cannot, *per definiens*, be deluded.

A final question: how can such radical differences in intuitions about what constitutes maximal greatness be resolved? Since these differences in many cases rest upon differences in metaphysical views, some of them may be resolved by the usual methods of argument and debate. If a particular metaphysical position should

turn out to be among the truth- or coherence-conditions of a particular intuition about great-making properties, and if the metaphysical position in question should turn out to be flawed, internally incoherent, or otherwise undesirable, then, presumably, the intuition will have to go (or at least be significantly modified). For instance: suppose it should turn out to be the case (as in fact I think it does) that some of the great-making properties listed by Morris require, in order that they may be coherently though exemplifiable, the truth of some such proposition as *one can meaningfully draw a distinction between the essential and accidental properties of some existents*, and suppose further that the standard Buddhist arguments against the separability of property and property possessor (of *dharma* and *dharmin*) should turn out to be good (though I think they do not); it would then follow that (some of) Morris's intuitions about great-making properties would need correction. For, pre-sumably, an unexemplifiable property cannot meaningfully be thought of as a great-making property. The same would apply, mutatis mutandis, to Buddhist intuitions about great-making properties and the propositions whose truth is required for their exemplifiability. But I doubt whether all disagreements about what is and what is not a great-making property can be resolved in this way. It is perhaps not inconceivable that all the propositions (together with their entailments) whose truth is required in order that a particular candidate for great-making-property status be exemplifiable should turn out to be true (or at least not demonstrably false), and that this be agreed by two people who still differ as to whether the property in question is in fact great-making. In such a case there would seem to be simply an irreducible difference in intuition, not capable of resolution by argument.

The exploration of this possibility, together with some fine-tuning of the presentation given here of the Yogācāra Buddhist view of what

makes for maximal greatness, are important tasks for the future. These tasks should include an attempt to isolate and critically analyze the metaphysical presuppositions underlying the Yogācāra Buddhist intuitions, especially in cases where these differ drastically from typically Christian presuppositions, and to assess the relative merits of each. Finally (and this last task is likely to be of more interest to the intellectual historian than to the philosopher), an attempt needs to be made to show how and (nonphilosophically) why Yogācāra intuitions about maximal greatness differ from others within the Buddhist traditions. In this study I have tried only to show that Yogācāra views on Buddhahood can be usefully explored and expounded using the terminology of maximal greatness, and that Yogācāra Buddhist intuitions about what makes for such are, on almost every level, radically incompatible with (most) Christian intuitions on the same question.

1 Heinz Bechert's *Die Lebenszeit des Buddha—das älteste feststehende Datum der indischen Geschichte?* (Göttingen: Vandenhoeck & Ruprecht, 1986) gives a thorough review of the state of play on this question. He reviews the two major contenders for the date of Buddha's death—the "long chronology," which places it 218 years before Aśoka's consecration (i.e., ca. 486 B.C.E.), and the "short chronology," which places it 100 years before Asoka's consecration (i.e., ca. 368 B.C.E.)—and dismisses both datings as later constructions in the service of nonhistorical ends (p. 52). He concludes that all indications suggest that the Buddha's life ended not long before Alexander's wars of conquest spread to the Indian subcontinent in the second half of the fourth century B.C.E. (pp. 54–55).

2 See T. W. Rhys-Davids and J. Estlin Carpenter, eds., *Dīgha-Nikāya*, 3 vols. (London: Pali Text Society, 1890–1911), 1:49 and passim.

[3] The list of six former Buddhas is found (in the mouth of Sākyamuni) in Rhys-Davids and Carpenter, eds., 2:2.

[4] On former Buddhas in general see Richard F. Gombrich, "The Significance of Former Buddhas in the Theravādin Tradition," in *Buddhist Studies in Honour of Walpola Rahula*, ed. S. Balasooriya et al. (London: Gordon Fraser, 1980), pp. 62–72.

[5] I borrow the phrase "on the ground" from Gregory Schopen, "Burial *ad sanctos* and the Physical Presence of the Buddha in Early Indian Buddhism," *Religion* 17 (1987): 193–225. Schopen appears to hold, for reasons unstated and unfathomable to me, the imperialistic view that Buddhism "on the ground," Buddhism as actually practiced, is somehow more interesting, a more desirable and appropriate object of study, than (say) the Buddhism expressed in texts by professional intellectuals. The truth, of course, is that *both* are interesting and appropriate objects of scholarly study. What Buddhist monks in Aśoka's India did (and what inscriptional evidence tells us about what they did) is, for those who like that kind of thing, a worthy and appropriate object of study, just as is what Sanskrit-writing intellectuals in Gupta India wrote. The academy is, fortunately, large enough for both interests.

[6] David Snellgrove uses the term "buddhalogy" for the discipline I intend here. It remains to be seen whether and to what extent this usage will gain scholarly currency. See Snellgrove, *Indo-Tibetan Buddhism: Indian Buddhists and Their Tibetan Successors*, 2 vols. (Boston: Shambhala, 1987), 1:32.

[7] The ontologically neutral "something" (*kiṃcit*) seems preferable here to the more loaded "being" or "existent." As I shall suggest, Buddha turns out to be not some particular existent but rather the totality of all existents.

[8] Thomas V. Morris and William J. Wainwright have recently provided some useful discussion of this terminology as it is used in Christian philosophical theology. See Morris, "Perfect Being Theology," *Nous* 21 (1987): 19–30; Wainwright, "Worship, Intuitions and Perfect Being Theology," *Nous* 21 (1987): 31–32.

[9] Morris (p. 26) gives a list of such intuitively obvious (obvious, anyway, to a Christian theist) properties. I shall return to this below.

[10] This text survives only partially in its original Sanskrit. For an edition of the fragments see V. V. Gokhale, "Fragments from the Abhidharmasamuccaya of Asanga," *Journal of the Bombay Branch of the Royal Asiatic Society* 23 (1947): 13–38. Pralhad Pradhan had produced a reconstruction of the entire text into Sanskrit, based on the extant fragments and the Tibetan and Chinese translations. See Pradhan, *Abhidharmasamuccaya of Asaṅga* (Santiniketan: Visvabharati, 1950). Walpola Rahula has translated the whole reconstruction into French: *Le compendium de la super-doctrine (philosophie) (Abhidharmasamaccaya) d'Asaṅga* (Paris: École Française d'Extrème-Orient, 1971). Note that the abbreviations used in this paper are AS—*Abhidharmasamuccaya*; ASBh—*Abhidharmasamuccayabbhāṣyam;* BBhS

—*Buddhabhūmisūtra;* BBhV—*Buddhabhūmivyākhyāna;* DT—Derge Bstan ʹgyur (Tanjur); *MS* —*Mahāyānsaṅgraha;* MSA—*Mahāyānasūtrālaṅkāra;* MSABh— *Mahāyānasūtrālaṅkārabhāṣyam;* MSAṬ—*Mahāyānasūtrālaṅkāraṭīkā;* MSAVBh— *Mahāiyānasūtrālaṅkāravṛttibhāyam;* MSBh—*Mahāyānasaṅgrahabhāṣyam;* MSU— *Mahāyānasaṅgrahopanibandhana;* PT—Peking Bstan ʹgyur (Tanjur).

[11] Takasaki Jikidō, *A Study on the Ratnagotravibhāga (Uttaratantra): Being a Treatise on the Tathāgatagarbha Theory of Mahāyāna Buddhism* (Rome: Istituto Italiano per il Medio ed Estremo Oriente, 1966), p. 406.

[12] This section of the AS does not survive in Sanskrit. For the Tibetan text see DT, sems-tsam RI 11717–117b5. For a Sanskrit reconstruction see Pradhan, pp. 102–3. Sthiramati's comments in the ASBh are especially helpful here. See Nathmal Tatia, ed., *Abhidharmasamuccayabāṣyam* (Patna: Kashi Prasad Jayaswal Research Institute, 1976), pp. 141–42.

[13] Takasaki calls this the "description of ultimate reality." See Takasaki Jikidō, "Description of the Ultimate Reality by Means of the Six Categories in Mahāyāna Buddhism," *Indogaku Bukkyōgaku Kenkyū* 9 (1961): 740–731. Takasaki also points out that the six categories are used in the *Yogācārabhūmi*, but only in the context of *śabdavidyā* (grammatical learning), one of the five sciences into which Buddhist theorists divide the branches of intellectual learning. The use of these categories in connection with grammar and semantic analysis has obvious links with the AS's use of them to expound *arthaviniścaya*. The categories are also used in the *Ratnagotravibhāga* (together with another four, making ten in all), but since the doctrinal emphases of this text are in many respects different from those of the MSA and BBhS, I shall not make use of it in discussing them further.

[14] See Nishio Kyoo, ed., *The Buddhabhūmi-sutra and the Buddhabhūmivyākhyāna of Çilabhadra* (Tokyo: Kokusho Kankokai, 1982), 1: 22–23; MSA 9: 56–59; Sylvain Lévi, *Mahāyāna Sūtrālaṃkara: Expośe de la doctrine du Grand Véhicule selon le système Yogācāra* (Paris: Librarie Ancienne Honoré Champion, 1907–11), 1:44.

[15] The BBhS is difficult to date. It appears to use the *Saṃdhinirmocanasūtra* as a source, and if this is correct the terminus a quo of the former is ca. 300 C.E. The dependence of the BBhS upon the *Saṃdhinirmocana* is suggested by the fact that the opening scene-setting description is virtually identical in each text. See Nishio, 1:1–4; Etienne Lamotte, *Saṃdhinirmocanasūtra: lʹExplication des mystères* (Paris: Adrian Maisonneuve, 1935), pp. 31–35. Lamotte also provides some discussion of this issue in his translation of the MS: *La somme du Grand Véhicule dʹAsaṅga (Mahāyānasaṃgraha)*, 2 vols. (Louvain-la-Neuve: Institut Orientaliste, 1973), 2:317–19. (Hereafter referred to as *La somme.*) John P. Keenan has recently argued in "Pure Land Systematics in India: The *Buddabhūmisūtra* and the *Trikāya* Doctrine," *Pacific World* 3 (1987): 29–35, that the BBhS may be even earlier than the *Saṃdhinirmocana*. In spite of this uncertainty about the terminus a quo, the terminus ad quern for the BBhS is still more difficult to arrive at. It depends principally on the decision arrived at about the relative dating of the BBhS and the MSA (see below).

¹⁶ There are problems with both the chapter division and verse enumeration of the MSA, problems too complex to explore fully here. The surviving manuscript of the Sanskrit text of the MSA does not mark all the chapter divisions, though it does mention a total of twenty-one chapters. The two printed editions, based on this manuscript, are unsure where to divide chap. 21 from chap. 20, and thus give a final chap. 20–21 with 61 verses. See Lévi, *Exposé*, 1:175–189; Sitansusekhar Bagchi, *Mahāyānasūtrālaṅkāra of Asaṅga* (Darbhanga: Mithila Institute, 1970), pp. 168–80. Following the Tibetan translation found in PT (though there are differences in DT), I regard the chapter given as 20–21 by Lévi and Bagchi as actually consisting in two chapters. The division should be made after verse 42. MSA 21 thus has, in my reading, 19 verses.

¹⁷ Both Asvabhāva and Sthiramati, in their commentaries to the MSA, strongly suggest that it is dependent upon the BBhS. See MSAṬ, DT sems-tsam BI 72b–c; MSAVBh, DT sems-tsam MI 133a7–133b7. Hakamaya Noriaki also expresses this view. See Hakamaya, "Shōjō hokkai kō" [Research on the purity of Dharma Realm], *Nantō Bukkyō* 37 (1976): 1. Takasaki seems to have once held this view (*A Study*, 403–4), but does so no longer (*Nyoraizō shisō no keisei* [The formation of Tathāgatagarbha thought] [Tokyo: Shunjūsha, 1974], pp. 346–47). The proper solution remains unclear, though see John P. Keenan, "A Study of the Buddhabhūmyupadeśa: The Doctrinal Development of the Notion of Wisdom in Yogācāra Thought (Ph.D. diss., University of Wisconsin—Madison, 1980), pp. 336–54, for some detailed arguments for the MSA's priority, a position which he has now abandoned ("Pure Land Systematics").

¹⁸ See MSA 21:18–19; (Lévi, *Exposé*, 1:188); MS 10.10.25–26 (section 10, subsection 10, subsubsections 25–26) (Lamotte, *La somme*, 1:90).

¹⁹ The major commentators, in approximate chronological order, are Vasubandhu, author of the MSABh and MSBh, commentaries on the MSA and MS, probably active in the early fifth century C.E.; Sthiramati, author of the MSAVBh, a commentary of the MSA, active in the sixth century C.E.; Sīlabhadra, author of the BBhV, a commentary on the BBhS, perhaps a younger contemporary of Sthiramati and possibly a pupil of Dharmapāla; Asvabhāva (whose name is uncertain since no Sanskrit text by him or mentioning his name has survived; the Tibetan is *Ngo bo nyid med pa*, which might equally well translate *Niḥsvabhava*), author of the MSAṬ and MSU, commentaries on the MSA and MS. Asvabhāva may have been a younger contemporary of Dharmakīrti; he cites the latter's *Nyāyabindu* in the MSU (DT, sems-tsam RI 106a7–106b2), and if we follow Chr. Lindtner's suggested date for Dharmakīrti of 530–600 C.E., this would yield a late-sixth-century date for Asvabhāva. See Lindtner, "A Propos Dharamkīrti—Two Works and a New Date," *Acta Orientalia* 41 (1980): 27–37; "Marginalia to Dharmakīrti's *Pramāṇaviniścaya*" *Wiener Zeitschrift für die Kunde Südasiens* 28 (1984): 149–75. On more general questions of dating see Erich Frauwallner, "Landmarks in the History of Indian Logic," *Wiener Zeitschrift für die Kunde Süd- und Ostasiens* 5 (1961): 125–48; Kajiyama Yuichi, "Bhāvaviveka, Sthiramati and Dharmapāla," *Wiener Zeitschrift für die Kunde Süd- und Ostasiens* 12–13 (1968): 193–203; Hakamaya Noriaki, "Sthiramati and Sīlabhadra" *Indogaku Bukkyōgaku Kenkyū* 25 (1977): 35–37.

[20] The *guṅas* are *[1]apramāṅa* (MSA 21:1); [2] 8 *vimokṣa* (MSA 21:2); [3] 8 *abhibvāyatana* (MSA 21:2); [4] 10 *kṛtsnāyatana* (MSA 21:2) [5] 1 *araṅā* (MSA 21:3); [6] 1 *praṅidhijñāna* (MSA 21:4); [7] 4 *pratisaṃvid* (MSA 21:5); [8] 6 *abhijñā* (MSA 21:6); [9] 32 *lakṣaṅa* (MSA 21:7); [10] 80 *anuvyañjana* (MSA 21:7); [11] 4 *paríuddhi* (MSA 21:8); [12] 10 *bala* (MSA 21:9); [13] 4 *vaiśāradya* (MSA 21:10); [14] 3 *arakṣa* or *ārakṣa* (MSA 231:10); [15] 3 *smṛtyupasthāna* (MSA 21:11); [16] 1 *vāsanasamudghāta* (MSA 21:12); [17] 1 *asaṃmosatā* (MSA 21:13); [18] 1 *mahākaruṇā* (MSA 21:14); [19] 18 *āveṇikadharma* (MSA 21:15); [20] 1 *sarvākārajñatā* (MSA 21:16); [21] 1 *pāramitāparipūri* (MSA 21:17). See Lévi, *Exposé*, 1:184–89.

[21] I shall, from this point onwards, drop the use of either a definite or an indefinite article when referring to Buddha, since the texts are not, for the most part, speaking of "the" historical Buddha (i.e., Sākyamuni), nor of any other specific Buddha, but rather of the category in general. I shall also use the neuter rather than a gender-specific pronoun. For a somewhat similar usage see Frank E. Reynolds and Charles Hallisey, "Buddha," in *Encyclopaedia of Religion*, 15 vols., ed. Mircea Eliade (New York: Macmillan, 1987), 2:219–32.

[22] See Lévi, *Exposé*, 1: 184–89; Lamotte, *La somme*, 1:88–90. Hakamaya Noriaki has translated Asvabhāva's commentary on MSA 21:1–17 into Japanese: "Mahāyānasūtrālaṃkāraṭīkā saishū shō wayaku" [A Japanese translation of the final chapter of the MSAṬ], *Komazawa Daigaku Bukkyōgakubu Kenkyū Kiyō* 41 (1983): 452–417.

[23] Tōhoku catalog no. 2007, attributed to Asariga. See Hakamaya Noriaki, "Chos kyi sku la gnas pa'i yon tan la bstod pa to sono kanren bunken" [Documents relating to a hymn of praise to the good qualities based on the Dharmakaya], *Komazawa Daigaku Bukkyōgakubu Ronshū* 14 (1983): 342–24.

[24] For the *Bodhisattvabhūmi* see Nalinaksha Dutt, ed., *Bodhisattvabhūmiḥ* (Patna: Kashi Prasad Jayaswal Research Institute, 1978), pp. 259–82. For the AS see Gokhale (n. 10 above), pp. 37–38; Pradhan (n. 10 above), pp. 94–101; Taita (n. 12 above), pp. 124–33.

[25] Buddhahood is defined in the MSABh on MSA 9:4 as "constituted by the purification of the Dharma Realm" (*tadviśuddhiprabhāvitatvāt*, where the pronoun's referent is *dharmadhātu*). Lambert Schmithausen has devoted a good deal of attention to the meaning of both *prabhāvita* and *viśuddhi* in this compound. He translates it "durch die Reinigung der Soheit konstituiert ist" (*Der Nirvṣṇa-Abschnitt in der Viniścayasaṃgrahaṇī der Yogācārabhūmiḥ* [Vienna: Hermann Böhlaus, 1969], pp. 44, 109–13). Compare Lévi's translation ([n. 14 above] *Exposé*, 2:69) of the same compound: "[la Bouddhaté est produite] par le nettoyage de la Quiddité"; and Lamotte's translation ([n. 15 above] *La somme*, 2:273–74) of *de bzhin nyid rnam par dag pa* (= *tathatāviśuddhi*) as "la purification de la vraie nature." All these translations stress the *process* of purification. It might, however, also be possible to translate *viśuddhi* as a straightforward substantive and to render the compound "[Buddhahood] consists in the purity of Suchness." The emphasis would thus be transferred from the process to the condition. It seems clear that some treatments of *tathatāviśuddhi* treat *viśuddhi* in this way. For example, in the MSU Asvabhāva says that the purity of

Suchness is eternal since, if it should change, Suchness could not exist at all (MSU, DT, sems-tsam RI 277a2–3). Compare MSU (in DT, sems-tsam RI 286a7) and MSA 21:18a (in Lévi, *Exposé*, 1:188). See also MSA 9:22 (Lévi, *Exposé*, 1:37), on the sense in which *bodhi* is neither pure (*śuddha*) nor impure (*aśuddha).*

[26] Karl Potter ("Does Indian Epistemology Concern Justified True Belief?" *Journal of Indian Philosophy* 12 [1984]: 307–27) provides some useful discussion of this in purely epistemological contexts.

[27] Lévi, *Exposé*, 1:34.

[28] See the discussion of *buddhatā* as *sarvākārajñatā* in MSA 9:1–3 and MSABh thereto (Lévi, *Exposé*, 1:33–34).

[29] MSA 9:56 (Lévi, *Exposé*, 1:44).

[30] MSAT, DT, sems-tsam BI 72b5–6; MSAVBh, DT, sems-tsam MI 134a2–4. Both Sthiramati and Asvabhāva mention the "transformation of the basis of the depravities" in this context (*dausthulyāśrayaparāvṛtti = ngan len gyi gnas yongs su gyur pa);* there is relevant material on this in the *Ch'eng Wei-shih Lun*. See Louis de La Vallée Poussin, *Vijñaptimātratāsiddhi: La Siddhi de Hiuan Tsang* (Paris: Geuthner, 1928–48), pp. 610–11, 665–66. The meaning is that the "depravities" (which are usually said to be twenty-four in number [AS, DT, sems-tsam RI 99b7–100a3; Pradhan, p. 76; Tatia, pp. 92–93]) are removed from the *ālayavijñāna* and pure dharmas are added thereto. See also MS 10.3.1 (Lamotte, *La somme*, 1:84).

[31] MSAT, DT, sems-tsam BI 72b6–7; MSAVBh, DT, sems-tsam MI 134b4–7. Here both commentators mention the "transformation of the basis of the path" (*margāśrayaparāvṛtti — lam gyi gnas yongs su gyur pa*). On this, see La Vallée Poussin, p. 665; Hakamaya, "The Realm of Enlightenment in Vijñaptimātratā: The Formulation of the 'Four Kinds of Pure Dharmas, '" *Journal of the International Association of Buddhist Studies* 3 (1980): 34, n. 67, "Sanshu Tenne Kō," [Research on the threefold *Āśraya-parivṛtti] Bukkyōgaku* 2 (1976): 57–58. Connections can be made here with the third of the four purities (*mārgavyavadāna*) treated in the second chapter of the MS.

[32] As, e.g., in the MS (in Lamotte, *La somme*, 2:283–85) and the AS (DT, sems-tsam RI 117a4–5; Pradhan, p. 102).

[33] On this see ASBh (Tatia, p. 139), and Hakamaya, "Yuishiki bunken ni okeru mufunbetsushi" *[Nirvikalpajñāna according to Vijñaptimātra literature], Komazawa Daigaku Bukkyōgakubu Kenkyū Kiyō* 43 (1985): 252–215. Hakamaya's article discusses this text from the ASBh and several other key discussions of *nirvikalpajñāna.*

[34] For a classic statement of the importance of freedom from experience colored by the concepts of *pudgala* and *dharma*, see the opening sentences of the *Trimśikābhāṣyam* (Sylvain Lévi, *Vijñaptimātratāsiddhi: Deux traités de Vasubandhu* [Paris: Librairie Ancienne Honoré Champion, 1925], p. 15). (Hereafter referred to as *Vijñaptimātratāsiddhi).*

³⁵ Asaṅga actually distinguishes three kinds of *nirvikalpajñāna:* preparatory (*prāyogika*), fundamental (*maula*), and subsequently attained (*pṛṣŮḥalabdha*). The distinctions between the first two are not of great importance for the purposes of this study. See MS, 8.15–16 (Lamotte, *La somme*, 2:243).

³⁶ See MS 8.16 (Lamotte, *La somme*, 2:245). Compare MSAṬ on MSA 9:62 (DT, sems-tsam BI 73b4–5) on the five aspects of *tatpṛṣŮḥalabdhajñāna*. At least some Yogācāra thinkers clearly felt that subsequently attained awareness must be *savikalpa*, as some of these images suggest.

³⁷ In the use of mirror imagery in this and similar contexts see Paul Demiéville, "Le miroir spirituel," *Sinologica* 1/2 (1947): 112–37; Alex Wayman, "The Mirror-like Knowledge in Mahāāyāna Buddhist Literature," *Asiatische Studien* 25 (1971): 353–63; "The Mirror as a Pan-Buddhist Metaphor-Simile," *History of Religions* 13 (1974): 264–81.

³⁸ Nishio (n. 14 above), 1:119–20.

³⁹ The witness of classical Yogācāra texts as to the use of *ādaśsajñāna* and *sarvākārajñāna* to refer to *both* fundamental *nirvikalpajñāna* and *tatpṛṣŮḥalabdhajñāna* is not entirely unambiguous. The MSABh, e.g., in commenting upon MSA 9:68, says that *ādarśajñāna* is *anākāratva* without modes of appearance. This, if taken seriously, suggests that *ādarśajñśna* can be identified only with *maulanirvikalpajñāna*. The commentators have a good deal to say about this (MSAVBh, DT, sems-tsam MI 139a4 ff.; MSAŬ, DT, sems-tsam BI 74a5–74bl; cf. BBhS, Nishio, 1:9). I cannot explore the issue further here, although I do so in another work on *sarvākārajñatā* in the *Indo-Iranian Journal* (1990), in press.

⁴⁰ See *Abhidharmakośabhāṣyam* on *Abhidharmakośakārikā* 7.13 (Dwārikādās Sāstrī, ed., *Abhidharmakośa and Bhāṣya of ācārya Vasubandhu with SphūtārŮhā commentary of āacārya Yaśomitra* [Varanasi: Bauddha Bharati, 1981], p. 1062). The *bhāṣya* on *Abhidharmakośakārikā* 2:34bc discusses the sense in which three important words for the mental (*citta, manas, vijñāna*) all have the same sense and referent (*eko'rthaḥ*). It explains that all mental events have the same basic characteristics and links the fact that they "possess an object" (*sālambana*) with the fact that they "have an *ākāra*," both essential to any member of the class-category mental event (Śāstrī, *Abhidharmakośa*, pp. 208–9). This necessary coexistence of *ālamabana* and *ākāra* is also made clear by Asvabhāva in the MSU (DT, sems-tsam RI 267b2). Compare also the denial in the *Triṃśikabhāṣyam* that consciousness without *ākāra* and *ālambana* is possible (Lévi, *Vijñaptimātratāsiddhi*, p. 19).

⁴¹ *Madhyāntavibhāgabhāṣyam* on *Madhyāntavibhāga* 5:15. See R.C. Pandeya, *Madhyānta-Vibhāga-Śāstra: Containing the Kārikā-s of Maitreya, Bhāsya of Vasubandhu and Ŭīkā by Sthiramati* (Delhi: Motilal Banarsidass, 1971), p. 162.

⁴² The tenth chapter of the MS (Lamotte, *La somme*, 1:98) contains a section on the eternality (*nityatā*) of the *dharmakāya* in which this matter is discussed in detail. See MSBh, DT, sems-tsam RI 231b7–232a5; MSU, DT, sems-tsam RI 295a3–295b2.

[43] For example, MSA 9:2ab (Lévi [n. 14 above], *Exposé*, 1:38). For denials of other matched pairs of contradictory predicates see MS 10.3a (Lamotte, *La somme*, 1:84); MS 10.33 (Lamotte, *La somme*, 1:96); cf. MSA 6:1 (Lévi, *Exposé*, 1:22) on the proper definition of *paramārtha*.

[44] On this see J. F. Staal, "Negation and the Law of Contradiction in Indian Thought: A Comparative Study," *Bulletin of the School of Oriental and African Studies* 25 (1962): 52–71; Roy W. Perrett, "Self-Refutation in Indian Philosophy," *Journal of Indian Philosophy* 12 (1984): 237–63.

[45] MSA 9.24–25 (Lévi, *Exposé*, 1:38).

[46] MSAVBh, DT, sems-tsam MI 130a3–5.

[47] Nishitani Keiji, in describing the process of "self-reflection" integral to the practice of Zen, uses the process of examining one's face in a mirror as an extended metaphor for what goes on when awakening occurs. One progresses, he says, from a disinterested examination of one's face as an object; thence to a nondualistic awareness that the eyes looking and those being looked at are not different from each other; finally to a situation which "is comparable to two mirrors mutually reflecting one another with nothing in between to produce an image" (Nishitani, "The Standpoint of Zen," *Eastern Buddhist* 17 [1984]: 5–6). Nishitani captures in this piece a good deal of what our texts are talking about, even though there is little evidence in his works that he was familiar with Indian Yogācāra literature.

[48] See MSA 9:15 (Lévi, *Exposé*, 1:36) on Buddhahood's omnipresence (*sarvagatatva*). Here Buddhahood is likened to space, and the MSABh comments that this is because of its perfection in commitment towards all sentient beings. Asvabhāva (MSAT, DT, sems-tsam BI 67b7–68a1) comments that Buddha's omnipresence results from the identity of all beings with itself—which is just what one would expect given the delineation of Buddha's essence provided above. See also MSAŬ (DT, sems-tsam BI 69a6–69b1) on the absence of distinction among Buddhas (commenting on MSA 9:26).

[49] MSA 9:58a (Lévi, *Exposé*, 1:44). Compare Nishio (n. 14 above), 1:23.

[50] MSAŬ, DT, sems-tsam BI 73a4–5; MSAVBh, DT, sems-tsam MI 134b6–135a7; Nishio, 1:123–24.

[51] Asvabhāva does not use this method of classifying transformations. Sthiramati mentions the first two (*svātmasaṃbaddhanirmāṇa* and *parātmasaṃbaddhanirmāṇa*), but not the third. Śīlabhadra applies both of these, together with the category *niḥsaṃbaddhanirmāna*, to *kāyanirmāṇa* and *vāknirmāṇa*, but only the first two to *cittanirmāṇa*. This, presumably, is because to fill the third category one needs something other than a sentient being to transform, and there is no instance of a mind which does not belong to a sentient being of some kind. There are, of course, plenty of physical objects and vibrating sound producers which are not connected with any sentient being.

52 MSA 9:16 (Lévi, *Exposé*, 1:36).

53 MSAVBh, DT, sems-tsam MI 116b5–117a2.

54 For the discussion of a similar image, see MS 10.28.7 (Lamotte [n. 15 above], *La somme*, 1:91); MSBh, DT, sems-tsam RI 183b2–5; MSU DT, sems-tsam RI 288a3–6.

55 MSA 9:52ac (Lévi [n. 14 above], *Exposé*, 1:43). There is a textual problem here. Both Lévi and Bagchi [n. 16 above] read *cāprapācyo* in the second *pāda*, but I follow the Tibetan (*rab tu smin bya*) in rejecting the negative.

56 MSAVBh, DT, sems-tsam MI 131b4–6. See also MSA 9:51 (Lévi, *Exposé*, 1:43); MSAṬ, DT, sems-tsam BI 72a3–4.

57 The term *ayatna* is used in MSA 9:53a and glossed with *anabhisaṃskāra* in the MSABh (Lévi, *Exposé*, 1:43). Compare MSA 9:20–21 (Lévi, *Exposé*, 1:37); *Ratnagotravibhāga*, chap. 4. E. H. Johnston, ed., *The Ratnagotravibhāga Mahāyāuoltaratantraśāstra* (Patna: Bihar Research Society, 1950), p. 99; MSA 9:4 (Lévi, *Exposé*, 1:33).

58 MSA 9:52 (Lévi, *Exposé*, 1:44).

59 MSA 9:18 (Lévi, *Exposé*, 1:37); MS 8.17 (Lamotte, *La somme*, 2:245–46); *Ratnagotravibhāga* 4:15 (Johnston, *Ratnogatravibhāga*, 99).

60 MSA 9:3 (Lévi, *Exposé*, 1:33); MS 8.17 (Lamotte, *La somme*, 2:245é246).

61 MSA 9:27–35 (Lévi, *Exposé*, 1:38–39).

62 MSA 9:31 (Lévi, *Exposé*, 1:39).

63 The MSABh explicitly says that all of Buddha's awareness functions or gets under way (*pravṛtti*) at a single moment (*ekakāle*). See also MSAṬ, DT, sems-tsam BI 69b4–6.

64 Śīlabhadra makes the connection between Buddha's *karman* and its *kṛtyānuṣṭhanajñāna* explicit in his comments upon the verses that apply the sixfold analysis to Buddhahood (Nishio [n. 14 above], 1:123–24). It is one of the interesting features of Śīlabhadra's comments on these verses that he attempts to harmonize and bring together Buddha's four knowledges with the sixfold analysis. None of the other commentators on these verses attempt this. For more on the *kṛtyānuṣṭhanajñāna* see MSA 9:74–75 (Lévi, *Exposé*, 1:47).

65 Sthiramati makes the connection between *kṛtyānuṣṭhanajñāna* and nirmāṇa quite clear in his comments on MSA 9:74–75. See MSAVBh, DT, sems-tsam MI 142a3–142b5. Compare MSU, DT, sems-tsam RI 278a6.

66 That *buddhānāṃ dharmadhātuḥ* is a periphrasis for *dharmakāya* is made clear by both Vasubandhu (MSBh, DT, sems-tsam RI 186M–2) and Asvabhāva (MSU, DT, sems-tsam RI 292a1).

[67] MS 10.31 (Lamotte, *La somme*, 1:95).

[68] MSBh, DT, sems-tsam RI 186b3–187a1; MSU, DT, sems-tsam RI 292a7–292b6.

[69] For a concise analysis of the *trisvabhāva* theory see my own *On Being Mindless: Buddhist Meditation and the Mind-Body Problem* (LaSalle, Ill.: Open Court, 1986), pp. 80–96; Nagao Gadjin, "The Buddhist World-View as Elucidated in the Three-Nature Theory and Its Similes," *Eastern Buddhist* 16 (1983): 1–18.

[70] See MSA 11.38–39 (Lévi [n. 14 above], *Exposé*, 1:64) for a discussion of *parikalpita* in these terms. It should be noted that the presentation of the *trisvabhāva* theory given in the eleventh chapter of the MSA is interestingly different in its details from the "classical" theory as found in the *Trisvabhāvanirdeśa* and Madhyāntavibhāga.

[71] MSA 11:14d (Lévi, *Exposé*, 1:58).

[72] Fifteen verses are devoted to these similes in MSA 11:15–29 (Lévi, *Exposé*, 1:59–62).

[73] MSA 11:28–29 (Lévi, *Exposé*, 1:61–62).

[74] This image occurs frequently in Indian Buddhist texts. See, inter alia, MSA 11:29 (Lévi, *Exposé*, 1:62); *Vigrahavyāvartanī*, in E. H. Johnston and Arnold Kunst, eds., "The *Vigrahavyāvartanī* of Nāgārjuna," *Mélanges chinois et bouddhiques* 9 (1948): 123.

[75] Such criticisms are suggested by Bhāvaviveka in the *Madhyamakhṛdayakārikā*, chap. 5; in the *Prajñāpradīpa* (*nirvaṇaparīkṣā*); and in the *Madhyamakaratnapradīpa*, chap. 4. See Chr. Lindtner, "Bhavya's Critique of Yogācāra in the *Madhyamakaratnapradīpa*, Chapter IV," in *Buddhist Logic and Epistemology: Studies in the Buddhist Analysis of Inference and Language*, ed. Bimal Krishna Matilal and Robert D. Evans (Dordrecht: Reidel, 1986), chap. 4, pp. 239–63, "Materials for the Study of Bhavya," in *Kalyāṇamitrārāgaṇam: Essays in Honour of Nils Simonsson*, ed. Eivind Kahrs (Oslo: Norwegian University Press, 1986), pp. 179–202. A more developed critique is offered by Jñānagarbha in the *Satyadvayavibhangakārikā* and *vṛtti*, verses 23–24. See Malcolm David Eckel, *Jñānagarbha's Commentary on the Distinction between the Two Truths: An Eighth Century Handbook of Madhyamaka Philosophy* (Albany: State University of New York Press, 1987), pp. 90–92, 141.

[76] See Morris (n. 8 above).

[77] Ibid., p. 26.

[78] Ibid. Compare the delineation of classical Christian theism given by Richard Swinburne, *The Coherence of Theism* (Oxford: Clarendon Press, 1977), p. 2.

[79] Wainwright (n. 8 above).

[80] The tradition of process theology that has grown out of Whitehead's thought, e.g., although it can certainly be understood as an instance of perfect being theology in Morris's

sense, equally obviously has significantly different intuitions about which properties are great-making. See, e.g., Charles Hartshorne, "Six Theistic Proofs," *Monist* 54 (1970): 159–80.

81 On atemporality, eternality, and the problems such doctrines entail, see Eleonore Stump and Norman Kretzmann, "Eternity," *Journal of Philosophy* 78 (1981): 428–58; Delmas Lewis, "Eternity Again: A Reply to Stump and Kretzmann," *International Journal for the Philosophy of Religion* 15 (1984): 73–79; "Persons, Morality, and Tenselessness," *Philosophy and Phenomenological Research* 47 (1986): 305–9; "Timelessness and Divine Agency," *International Journal for the Philosophy of Religion* 21 (1987): 143–59; I. M. Crombie, "Eternality and Omnitemporality," in *The Rationality of Religious Belief: Essays in Honour of Basil Mitchell*, ed. William J. Abraham and Steven W. Holtzer (Oxford: Clarendon Press, 1987), pp. 169–88.

82 Technically, *karman* is *cetanā, cetanāa* is part of the *cittacaitta* complex, and that complex is exhaustively defined as a continuum (*saṃtāna*) of momentary events. There is no "person" who possesses that series of events, no "person" to whom it is proper to say that a particular instance of volitional action (= agency) belongs.

JOHN TABER

REASON, REVELATION AND IDEALISM IN ŚAṄKARA'S VEDĀNTA [1]

Although comparative philosophy has come to be more widely practised in recent years, it is still practised, by and large, in a state of methodological confusion. It is generally agreed that there is much to be gained in placing philosophical theories from different cultures side by side. We gain a new perspective on the theory we are familiar with from our own culture. We sometimes become aware of solutions or objections to solutions to problems which hitherto in our own tradition have not been posed. Even when the categories of the thought of one culture do not fit those of another culture and the considerations of their respective philosophies cannot be brought mutually to bear on each other, still one often realizes thereby more distinctly what one particular philosophical tradition is *not* getting at, what is beyond its scope, which helps us to understand better what it *is* getting at and ultimately helps us evaluate it. But it is unclear whether comparative philosophy can really deliver on these items. For the comparative philosopher is faced with extraordinary difficulties, due less to the multi-disciplinary competence required of him – one, clearly, has to be well-versed in two or more literatures – than the exacting demands placed on him by two separate sets of scholars with different presuppositions and methods that lay claim to his object of study. I am referring to the philosophers, on the one hand, and the linguists on the other. It has been the linguists who have opened up for us the classical literature of the Orient and pioneered the exploration of its meaning. Their

concern has been primarily to edit critically the important texts, to establish their dates and place them in an historical context, to determine the meaning of individual concepts and terms by a sort of multiple cross-referencing between texts of the same period, to trace the origin and development of particular ideas over time, and so on. The linguist proceeds as an empiricist, gathering data from the texts themselves as the sole foundation of his conclusions. The philosopher, however, is almost exclusively concerned with the *validity* of the ideas of the texts in question. This often takes him beyond their literal meaning, to consider, for example, the implications of arguments, the abstract states of affairs he discerns behind the words which they may adequately or inadequately express. Comparative philosophy has suffered from undue inflexibility on the part of both philologists and philosophers. The former have claimed, understandably, that the philosophical evaluation of Asian philosophy cannot begin until we have thoroughly *understood* it, i.e., determined its literal meaning – and that on the basis of texts reliably edited. The latter just as reasonably suggest that it is not worth the effort attempting to understand Asian philosophy if Asian philosophy does not hold out any promise of providing new and better insights into the nature of things, if, indeed, as sometimes seems to be the case, it is absurd! The philosopher might add that we have no right talking about having understood a philosophical text unless we have achieved a critical philosophical appreciation of the problems it treats in all their ramifications. Kipling's dictum that East is East and West is West, was disposed of a long time ago. The fact that immediately appears when one studies Indian philosophy – the branch of Asian philosophy I shall be concerned with here – is that it deals with many of the issues that have been dealt with in European philosophy: the problem of universals, problems of reference and meaning, the issue of the external world, the analysis of causation, the problem of personal

identity, to mention just a few. But a version of Kipling's saying, substituting "philology" and "philosophy", may well be true.

In the present discussion I would like to demonstrate how I think both a reasonably broad comprehension of philosophy and linguistic competence are indispensable for the adequate understanding of Asian philosophy in a particular case. Since, one has to admit, philologists have up till now been dominant in this area, I approach the matter from the philosopher's side by showing how, typically, philological analysis can go wrong in ignoring philosophical concerns. The philosopher I shall deal with is Śaṅkara's, the great Indian Vedānta philosopher of the 8th century.

I

Recent research on Śaṅkara's philosophy has focussed, among other things, on certain idiosyncracies of Śaṅkara's method of philosophical argumentation. Conclusions have been drawn about his intellectual traits or his intellectual development on the basis of observations about his employment or, more typically, avoidance of rigorous logical proof in certain circumstances. This has led to criteria for determining the chronological order of Śaṅkara's writings or the authenticity of works traditionally ascribed to him. For example, the late Prof. Hacker notes that Śaṅkara's reasoning, while usually quite thorough, is peculiarly weak when he attempts to establish the central monistic tenet of his system that Brahman, the self, experienced as the eternal witnessing consciousness beyond the mind, is One.[2] Śaṅkara tends to rely primarily on scriptural assertions here. Hacker has attempted to explain this peculiarity (along with other facts) by supposing that Śaṅkara was originally an adherent of Yoga philosophy who was later converted to monistic (Advaita) Vedānta. In *reasoning* about God Śaṅkara tended to revert back to the familiar and well worked-out framework for thinking about Īśvara

(God) of the dualistic Yoga school.[3] This is noted in particular in connection with Śaṅkara's arguments for God's existence. Prof. Ingalls has remarked on Sankara's evasiveness in answering the question, "Whose is *avidyā*?" or, to paraphrase this, "Who is responsible for the ignorance that binds the soul in the cycle of transmigration?"[4] He suggests that disinterest in strictly philosophical questions such as this in favor of concentrating on leading the disciple directly to salvation may be seen as one of Śaṅkara's distinctive characteristics. Tilmann Vetter has critically analysed Śaṅkara's arguments for idealism and has shown that the same arguments Śaṅkara uses in one place to prove the illusoriness of the external world are the exact same arguments refuted by him as Buddhist perversions in another place.[5] Vetter, like Hacker, attributes this discrepancy to different stages in Śaṅkara's philosophical development. In light of the preoccupation of recent scholars with Śaṅkara's use or abuse of dialectic it would be well to consider here a discussion Śaṅkara presents in his *Brahma Sūtra Bhāṣya* (BrSūBh) that concerns the role of reason and its relation to scripture in ascertaining the ultimate, liberating truth about the self, in general.[5a] Since the BrSūBh is the standard of authenticity for Śaṅkara's writings (i.e., Śaṅkara is the author of the BrSūBh *by definition*), there is no question to be raised here as to whether these ideas are truly his own.[6]

At BrSūBh 1.1.2, i.e., toward the very beginning of that work, Śaṅkara asserts that the opening statement of the text he is commenting on – Bāḍarāyaṅa's *Brahma Sūtras* – does not represent a conclusion arrived at by inference or reasoning,[7] but is meant rather as a summary of scriptural doctrine. The statement in question, as Śaṅkara clarifies it, is, "Brahman is the cause of the origin, subsistence and dissolution of the universe." The *sūtras* or aphorisms, he explains, have the purpose of stringing together the

flowers of the Vedānta passages (here he plays on the meaning of the word *sūtra*, which is literally 'a string'). For cited by the *sūtras*, the passages are then reflected on. And knowledge of Brahman results from reflecting on and determining the meaning of scriptural passages, not from inference or other ways of knowing. But if scriptural passages such as those dealing with the cause of the world have been presented, then inference, being a means of correct knowledge insofar as it does not conflict with scripture, is not to be rejected as an aid in ascertaining their meaning (*tadarthagrahaṇadārḍhyāya*).[8] To underline the admissibility of reasoning in this regard Śaṅkara quotes from scripture itself: "The self is to be seen, to be heard, to be thought about, to be meditated on" (*Bṛhadāraṇyaka Upaniṣad* II.4.5). Śaṅkara goes on in this section to admit that scripture is not the only adequate way of knowing Brahman. There is also intuition (*anubhava*). Knowledge of Brahman *results* in an intuition – the confirming intuition of its essence precipitated by the Upaniṣad discourse – and concerns a concretely existing thing (*bhūtavastu*, which is Brahman itself – unlike knowledge of Dharma, which is first brought into existence by knowledge about it in the form of prescriptions).[9] But this does not bring it within the sphere of inference and perception, the other usually valid ways of knowing, because, although an object of intuition, Brahman is not an object of the *senses*.[10] A connection between it and the world as its effect cannot be empirically perceived. Therefore the assertion of the *sūtra* that Brahman is the cause of the world cannot be the conclusion of a logical inference. (The suggestion here seems to be that there is no way to establish as a general premise that a universe of a certain type has Brahman as its cause, from which one might draw the conclusion that this particular universe does.)[11]

In the second book, first chapter, Śaṅkara expands these arguments over several sections of commentary in the form of a dispute between a Vedāntin and an opponent, in this case a Sāṁkhya philosopher.[12] Here the topic is much the same as before, namely, whether Brahman is the material cause of the universe. The Sāṁkhya, in saying that one ought to be able to use reason in determining this, harps on the fact that scripture itself says reasoning is valid. Śaṅkara responds by citing several scriptural passages that appear to reject logic, indicating that those that uphold it are meant to be somehow qualified.[13] He concludes, addressing his opponent: "When it is said that the scripture itself, in that it prescribes thinking separate from hearing (cf. Bṛh. Up. II.4.5, quoted above), shows that logic is to be given its place [I reply that] the introduction of bare ratiocination (*śuṣkatarkasya* = literally, 'dry logic') is not possible by this ruse. Only aided by scripture, as auxiliary to intuition, is logic to be resorted to."[14] This reiterates what we have already heard. But Śaṅkara goes on to give some examples of what he would consider to be admissible logical argument with regard to Brahman or the self, namely, "Because the dreaming state and waking state exclude each other, the self is not associated with those; because in deep sleep one unites with being, leaving diversity behind, [the self] has pure being as its essence; [and] because the universe has Brahman as its cause, it is non-different from Brahman by the principle of the unity of cause and effect."[15] It is precisely the last argument which Śaṅkara expounds at length in the first chapter of the second book, and indeed only in defense of scriptural assertions that originally establish the point (BrSūBh 2.1.14).

At BrSūBh 2.1.11 Śaṅkara's attack on independent reason becomes more intense. Reasoned argument without scripture is *unfounded* (*apratiṣṭhita*), he argues, because it is based on the mere opinions of men, and human opinion is unchecked. Thus we find arguments

excogitated with great pains by certain clever men being proved fallacious by other even cleverer men. And those thought up by them are refuted by others in turn. So one can't assume reason to have a foundation, because of the diversity of men's opinions. Not even the logic of those who are widely considered to be realized (*prasiddhamahātmyasya ... tarkaḥ*), like Kapila (the legendary author of the Sāṃkhya system), can be depended on. For they, too, differ among themselves. When it is objected that if reasoning were totally rejected then human activity would come to an end – because it depends on the assumption that the future will be like the past, and so on – Śaṅkara gives the reasonable reply that although independent argument is admissible in some cases, it is not admissible in matters of the highest truth. Here we must have recourse to something more reliable than reason, because liberation (*mokṣa*) follows only upon right or perfect knowledge (*saṃyagjñāna*), about which there can be no possibility of doubt. To quote his words: "All those who believe in liberation hold that it follows from perfect knowledge. Now perfect knowledge is uniform, because it depends on a thing [in this case, Brahman]. What exists in a single [unalterable] form is the true thing. Knowledge that has that for its object is considered perfect, like when we say, 'Fire is hot.' But the conflict of ideas based on logic is well known, because they contradict each other... . However, since the Veda has for its object a firmly established thing, being eternal and being the cause of the origin of science (*vijñānotpattihetutve*), all the logicians of the past, present or future cannot refute the Tightness of the knowledge derived from it. Thus the perfection of the knowledge of the Upaniṣads is established indeed."[16]

To summarize Śaṅkara's view: Śaṅkara rejects reasoning with regard to matters properly known only through scripture – namely, the self, God, Brahman (all three of which the Śaṅkara's philosophy

are identical) – but admits it for other prupuses. He seems to agree, for example, that reasoning must be employed in resolving apparent discrepancies between Vedic texts.[17] And, this rejection is itself a *reasoned* one. Śaṅkara argues that Brahman is not the sort of thing that can be known any other way. In the last passage from which I quoted he reiterates that Brahman cannot be ascertained through perception because it is without form (it is "utterly profound", *atigambhīra*), nor through inference, because it has no characteristic (*liṅga*) which can serve as a middle term.[18] (Inference depends on establishing that a thing which has a certain characteristic, the middle term, is contained within a larger class for which a certain property, the major term, holds true.)

It should be remarked that Śaṅkara's ideas on this point are much like those of St. Thomas Aquinas with regard to the relation of natural and revealed theology. St. Thomas also believed that matters of ultimate importance, i.e., human salvation, cannot be left to philosophers. Natural theology must be supplemented by revealed theology: "It was necessary for man's salvation that there should be a knowledge revealed by God, besides the philosophical sciences investigated by human reason. First, because man is directed to God as to an end that surpasses the grasp of his reason."[19] However, St. Thomas did believe that a metaphysical system centering on a rationally conceived idea of God was possible, although necessarily incomplete and containing a certain amount of error.[20] This comes out, for example, in his discussion of the possibility of a proof of God's existence. He considers an objection to any attempt to prove that God exists very similar to Śaṅkara's objection that the Absolute does not have any "mark" which can serve as a middle term, namely, "Essence is the middle term of demonstration. But we cannot know in what God's essence consists but solely in what it does not consist.... Therefore we cannot demonstrate that God exists."[21] But

St. Thomas replies by pointing out that, "When the existence of a cause is demonstrated from an effect, the effect takes the place of the definition of the cause in proving the cause's existence. This is especially the case in regard to God, because, in order to prove the existence of anything, it is necessary to accept as a middle term the meaning of the name, and not its essence, for the question of its essence follows on the question of its existence."[22] What this means is, the demonstration of God's existence does not proceed by way of a syllogism. Rather, from the observation that the world has the nature of an effect, we infer that it must have a cause, and, from the specific make-up of the world (it is dynamic, ordered, exhibits a scale of things more or less good or perfect), we infer something – although perhaps very little – about the essence of the cause (it is the unmoved mover, intelligent, perfect and good, etc.). Interestingly enough, we find Śaṅkara in one of his works, the *Kena Upaniṣad Vākyabhāṣya*, providing a version of one of the very theological arguments that St. Thomas now goes on to outline – the so-called physicotheological proof, the argument from design.[23] Śaṅkara's proof proceeds not from an observation of order in nature *per se*, but from the observation of the world as suitable for the experience of a wide variety of living beings. Such a world must be the product of an omniscient Lord who knows the distribution of *karma*. This appears, then, to contradict the radically sceptical attitude toward the employment of reason Śaṅkara presents in the BrSūBh. If we are to interpret this discrepancy systematically rather than simply let it stand and, once again, refer it to separate phases of Śaṅkara's intellectual development, then I believe we must assume that Śaṅkara, like St. Thomas, made a distinction in this matter between proving *that* God exists and showing *what He is like*. This is a natural distinction, after all. It is one thing to know, say, that someone broke into my house and stole my TV set, a completely different thing to know *who*. In St. Thomas' words: "From effects not proportioned to

the cause no perfect knowledge of that cause can be obtained. Yet from every effect the existence of the cause can be clearly demonstrated, and so we can demonstrate the existence of God from His effects; though from them we cannot know God perfectly as He is in His essence."[24] And in the BrSūBh we find indications that Śaṅkara thought Brahman's existence, at least, indubitable. It is already known from the word *Brahman*, which etymologically implies something pure, free, enlightened; it is the self, and no one can intelligibly deny oneself.[25] But, Śaṅkara emphasizes, opinions differ as to its *nature*[26]. Thus in the *Kena Upaniṣad Vākyabhāṣya* passage where Sankara demonstrates God's existence logically *via* the design argument, he dispenses with pure logic and resorts to scripture when he comes to God's Oneness.[27] That is the feature about that passage that particularly disturbed Hacker and led him to postulate the presence of a doctrinal bias. It is now clear, I hope, that it is also explainable on philosophical grounds. And in a sense, I think, one can say that one has not fully understood this peculiarity of Śaṅkara's thought if one has not understood the philosophical concern behind it.

The difference between Śankara and St. Thomas on this issue, then, is with respect to *how much* we can know about God beyond his mere existing by natural reason. St. Thomas was confident that natural reason can provide us, at least, with reliable knowledge of what God *is not*, and he gives arguments intended to show that God is simple (i.e., without parts), incorporeal, infinite, immutable, and – most significantly – One (not plural). Śaṅkara *attributes* all these properties to God, but he does not *deduce* them. The difference ultimately comes down to differing views about salvation. The perfect vision of God's essence constitutes salvation for both of these philosophers. But St. Thomas sees such a vision as arising only after death (or in rapture), when the intellect is completely separated

from the senses and made finally commensurate with God's essence (in effect, deified) through an act of His Grace. Meanwhile the soul in its present state of worldly existence is prepared for the reception of His Grace through faith buttressed by the application of reason as far as it will go. These notions are connected in turn with a sort of epistemology to be extracted from St. Thomas' writings piecemeal: the intellect *qua* intellect is directed toward being in general, i.e., God. In its embodied state, however, it apprehends being only as exhibited in sensible objects.[28] It can arrive at God through the investigation of material things insofar as they are manifestations of His essence, as their cause. But such knowledge is imperfect – it will in no case adequately comprehend such mysteries as God's triune personality – and although possible in principle, is usually in fact to a certain extent contaminated by error. (When St. Thomas makes this point in the *Summa Contra Gentiles* I.4, noting the "different things taught by the various men who are called wise," he sounds very much like Śaṅkara complaining about the vicissitudes of the history of philosophy).[29] Śaṅkara, on the other hand, conceives of a perfect vision and union with God in this life. This claim is not based on a theory of knowledge – conspicuously lacking in Śaṅkara's philosophy – but rather on what he takes to be indisputable fact revealed by scripture.[30] But a detailed comparison of Śaṅkara and Aquinas on this point would take us too far afield. In sum, we have an interesting criss-crossing of attitudes. Whereas St. Thomas was basically a rationalist (we can know something significant about God through reason) who nevertheless believed that thorough knowledge of the Supreme was unattainable (he was apparently satisfied with the limited knowledge we can have for now), Śaṅkara was an anti-rationalist (we can know nothing significant about God through logic beyond his existence) who nevertheless believed a thorough, mystical knowledge is possible.

There is another passage in Śaṅkara's writings that casts doubt on whether he held unswervingly to the doctrine of the limitation of philosophical argument and its subordination to theology. I have in mind a remark that crops up in a discussion in the *Bṛhādaraṇyaka Upaniṣad Bhāṣya* concerning the nature of bliss. According to Advaita Vedānta the Absolute cannot be indicated directly in any positive way. The only true way of talking about it is in strictly negative terms. Nevertheless, it can be analogically referred to or implied by the positive expressions *sat, cit, ānanda*: Being, Consciousness, Bliss. (Again, we are reminded of a similar discussion in Thomistic theology about the analogical application of names to God.)[31] The liberated Advaitin realizes the nature of Brahman as such, that it is *in essence* these things; i.e., it does not exist, but it is *the Existence*; it is not conscious, but it is Conscious*ness*; it is not bliss*ful*, but it is Bliss itself. At Bṛh. Up. Bh. III.9.28.7 the question is raised whether this bliss that the liberated soul realizes can in any sense be said to be felt (*saṃvedya*); is it something to be cognized?[32] It is suggested, as a first attempt at an answer, that it indeed must be felt because scripture in effect testifies to it. Such passages as *Taittirīya Upaniṣad* II.5.1, "He enjoys all desires," *sarvān kāmān samaśnute*, are cited. But the objection is raised that when there is Oneness, that is, in liberation, when the self has completely dissolved into the Absolute, knowledge is impossible. For the separate factors involved in the act of knowing (subject, object, instrument, etc.) are absent. The discussion proceeds, verbatim: "The objection does not hold. Let there be knowledge with bliss as its object by the authority of the [holy] word! ... Scriptural statements like, '[Brahman is truth,] knowledge, bliss,' (Tai. Up. II.1.1) would be invalid if that which consists of buss were incapable of being felt. [Objection:] But not even a scriptural statement (*vacanenāpi*) can make fire cold or water hot, for the statements are [merely] informative (*jñāpakatvād vacanānām*). Nor can it teach that in some other place fire is cold, or

that in some country where we have never been water is hot."[33] Here the word of the Veda appears to be set aside because of a logical consideration. Scripture in this instance, it would seem, can be decisively contradicted by reason. Indeed, the issue is finally decided in the *siddhānta* in favor of the logician (i.e. The Vedāntin resting his case on logic). Śaṅkara points out that there can be no knowledge in the absence of a body and perceptual faculties. Liberation is the complete separation from the body. Without the body as a basis, the perceptual faculties cannot operate.[34] It is re-emphasized that a *feeling* of bliss would contradict the oneness of Brahman, implying a division of subject and object. What kind of realization of bliss do we have if not a feeling, a cognition of it? A merging, an identification with it, "like a handful of water thrown into a pond."[35]

These remarks taken by themselves appear to defy the misological stance of the BrSū Bh, but their context immediately reveals that they are in fact compatible with what is said there. For the discussion begins with the observation that scripture is actually inconsistent on the issue of bliss. Some passages suggest a feeling, an experience of bliss as pleasure or happiness. Other passages clearly state the absence of any object-directed, intentional awareness: e.g., Bṛh. Up. II.4.14, "But when [to the knower of Brahman] everything has become the self, then what should one smell and through what; what should one see and through what... what should one know and through what?" But in BrSūBh 2.1.11 Śaṅkara (implicitly) admits the application of reasoned argument in settling apparent conflicts between texts.[36] And he explicitly acknowledges this principle here: "Because conflicting scriptural passages are seen, an analysis is to be undertaken."[37] Thus the present discussion of the Bṛh. Up. Bh. confirms our findings with regard to the BrSūBh, that Śaṅkara believes rational argument ought not to be excluded in all cases but only in attempting to apprehend the highest metaphysical truth. In

the matter of scriptural exegesis it can and indeed sometimes must be applied; and in that case certain 'lesser' metaphysical considerations can be relevant (such as the correct analysis of causality in interpreting the Vedic account of the creation of the world and its relation to the Absolute). It is obvious from all this that the exegetical method for Śaṅkara assumes the validity of the principle of non-contradiction for the Veda. The latter cannot both affirm and deny a certain predicate ('to be felt', *saṁvedya*) with respect to a certain thing ('bliss', *ānanda*) at the same time. It cannot do this in effect by making assertions in separate passages, which taken together imply a contradiction. All passages from all parts of the Veda must be consistent. It cannot, in any single passage, assert a contradiction directly. This, I take it, is the point of saying the Veda cannot by mere fiat make fire cold.[37a] It should not go unnoticed that this amounts to a certain concession to rationality on Śaṅkara's part. Divine revelation is at least bound by the fundamental rules of logic. There is something higher which it must obey. The reader perhaps need not be reminded that it was a Western philosopher – Descartes – who suggested that God in His omnipotence is answerable to no person or principle. He is the author of the laws of logic and mathematics and could rescind them at any time if He so decreed.[38]

   Now it is my main contention in this paper that all those cases where Hacker and others think Śaṅkara's method of argumentation is problematic (either too lax or, by contrast, too strict), can be accounted for in terms of the stance he adopts with regard to the relation of logic and theology which I have outlined. The long dialogue in the second prose chapter of the *Upadeśasāhasrī*, for example, in which a Vedānta master leads his disciple to self-realization simply by pointing out certain facts about the relation of the self to the body and mind and its status in different states of

consciousness, to which Hacker has called attention as a prime example of Śaṅkara's strictly philosophical writing (there is not a single Vedic sentence quoted in the whole passage)[39] – this dialogue comes under the topics listed by Śaṅkara at BrSūBh 2.1.6 as suitable for philosophical discussion (see above,): "Because the dreaming state and the waking state exclude each other, the self is not associated with those; because in deep sleep one unites with being, leaving diversity behind, [the self] has pure being as its essence." This argument, in essence, occurs at *Upadeṣasāhasrī Gadyaprabandha* II.86&90. At BrSūBh 4.1.2 it is related to other arguments that appear there which are intended to show the mistakenness of the notion that the self is subject to pain, etc. But instead of taking issue with everything Hacker *et al.* have to say in this regard, I shall devote the remainder of this essay to proving my point especially in regard to the case of Śaṅkara's conflicting arguments for and against idealism. Although the discussion will take us over some already charted territory, I feel it is justified because scholars continue to lose their way there. As I said at the outset, Hacker and Vetter have concentrated on Śaṅkara's vacillation between idealism and realism in attempting to show stages in his philosophical development. Now idealism and realism in Śaṅkara's system have to do ultimately with the problem of monism, the relation of the Absolute to the world. If one can prove, i.e., that the world in the diversity in which it is represented in consciousness is a mere idea, an illusion, then there exists only that one thing which underlies consciousness, and one obtains monism. Hacker suggests that Śaṅkara sometimes fails to follow up on idealistic trains of thought discoverable in the Upaniṣads and in fact developed by other Vedāntins. According to Hacker, as I have noted, this was because his monistic inclinations are actually weak, due to his background in the Yoga tradition. Vetter, strangely, implies that

Śaṅkara gives up idealism for realism when he *renounces* Yoga.[40] But I believe there is a better way to make sense of these matters.

II

Śaṅkara's arguments *contra* the reality of the external world are given at length in the *Māṇḍūkya Kārikā Bhāṣya* (MKBh).[41] Now this text, like most of those we have from Śaṅkara, is a commentary on another text, a text established as authoritative within the Vedānta tradition. Śaṅkara could not have deviated very far from the text without incurring the charge of heterodoxy. Moreover, the primary text (the *Māṇḍūkya Kārikā* of Gauḍḍapāda) is of a relatively late date, comparatively unambiguous in style and wording. Śaṅkara is therefore given little leeway in his interpretation, compared to what he normally has in interpreting an Upaniṣad or, indeed, the *Brahma Sūtras*, which without a commentary are virtually unintelligible. Now the idealistic bent of Gauḍapāda's *kārikās* is quite clear. Śaṅkara is therefore compelled to follow suit. This does not necessarily mean, however, that Śaṅkara did not agree with Gauḍapāda's ideas at the time he commented on them. Indeed, it would be difficult for us to believe that he would have commented on them if he had not by and large agreed with them. The content of Śaṅkara's actual arguments against the reality of the external world does not concern us so much here, but perhaps it would be well to summarize them briefly: Śaṅkara argues that there is no significant distinction between the types of experiences one has in waking and in dreaming. Objects in both states of consciousness have the same property of "being perceived" (*dṛśrsyatva*). Therefore, the things that one 'perceives', so to speak, during the waking state are equally illusory (MKBh II.4). Moreover, the *possibility* of an external object is doubted. There is no cause of one's perception of a jar apart from the clay that makes up the jar; a cloth can be reduced to the threads

out of which it is woven. If one investigates reality successively until words and concepts cease, one does not apprehend any external occasion for knowledge, say, a real jar apart from the clay or a thing that is a *cloth* different from the yarn (MKBh IV.25). Finally, Śaṅkara doubts the veracity of perceptions in waking because they are annulled in other states of consciousness. Experiences of the waking state are contradicted by dreams (MKBh II.7). Diversity disappears completely in deep sleep and *samādhi* (MKBh IV.25).[42]

What I would like to draw attention to is not the valdity or invalidity of these arguments but the metalogical framework of the MKBh, if one may use that term – Śaṅkara's remarks about what he is doing when he presents these and other arguments. There is no way of getting around the fact that Śaṅkara denies the reality of the external world in this work. But I think that one can see in the manner in which he (once again, closely following Gauḍapāda) presents his denial an anticipation of the sceptical attitude toward reason that flares up later on in the BrSūBh, thus perhaps, even here, an ambivalence toward his own arguments. To begin with, Śaṅkara is conscious that Gauḍapāda in the last three *prakaraṇas* of the MK is proceeding strictly logically. As he states it: the unity of Brahman is asserted dogmatically in the first *prakaraṇa*. Gauḍapāda undertakes the second *prakaraṇa* to show that by logical demonstration (*upapatti*) also (not just scripture) the falseness of duality can be ascertained.[43] The third *prakaraṇa* attempts to establish on the basis of logic (*tarka*) non-duality – i.e., that in place of a phenomenal world which has been shown to be illusory a real world does exist[44] – while the fourth confirms the same in showing that those who hold to the view of duality necessarily contradict each other.[45] Thus we might say that the MK for Śaṅkara is a bold flight into the realm of pure speculation. Nevertheless there are, here and there, reversions back to the secure refuge of sacred doctrine. Thus MK II.31, III.11–13, 23–

26 contain allusions to scriptural passages which are elaborated by Śaṅkara in the commentary. The need for these revelations to supplement the independent line of argument is implied.[46] Explicitly, Śaṅkara says at II.35, "The highest self can be seen only by those wise men free from fault, intent on the meaning of the Vedānta, who have renounced [the world], not by logicians whose minds are defiled by passion and hold strictly to their own views;"[47] at III.11, "[The self] is not, like the self imagined by the logicians, to be understood by means of knowledge based on the human intellect."[48]

Another point to be especially noted here is that the logic in the MK and MKBh is chiefly negative or destructive. Unity is proved only by showing the absurdity of the opposite view of duality, which is demonstrated by the mutually contradictory arguments set forth by its proponents. Thus in *prakaraṇas* III and IV it is argued that there can be no birth, no real origin of diverse things from out of the self, which ultimately means, the multiplicity we experience is an illusion. Those who maintain there is birth either hold that the effect pre-exists in the cause or that it is something entirely new. In the first case, either the supposedly eternal cause of things itself undergoes change (it being non-different from its effect) or the effect represents nothing over and above it (i.e., no change really occurs).[49] In the second case, something would have to come from nothing.[50] But these possibilities are absurd. Thus the two alternatives demolish each other and non-birth, that is, non-duality, is left over. Significantly, the debate about the reality of the external world in *prakaraṇa* IV is placed in a context like this. The party who attacks realism is identified by Śaṅkara as a Vijñānavādin Buddhist. Gauḍapāda agrees with him, according to Śaṅkara, insofar as his argument is intended to refute the realist.[51] But then he (Gauḍḍapāda) goes on to use the same reasoning to refute the Vijñānavādin himself: Just as external objects are illusory, so the

apparent changes *within* consciousness do not really take place. There is one eternal consciousness; the momentariness attributed to it by the Buddhist is false.[52] Thus the Vedāntin can sit back and watch his opponents defeat each other, leaving the field free for him to occupy without a struggle. As Śaṅkara puts it in one place, "Contradicting each others' views about whether birth proceeds from what [already] exists or what does not exist, the dualists in effect demonstrate non-birth.... By saying, 'Let this be so!' we simply approve the birthlessness revealed by them ... we do not quarrel with them."[53] Thus non-duality (*advaita*) is a philosophy "without dispute" (*avivāda*).

Now it seems but a short step from this sophistical attitude toward reason to an attitude of complete mistrust of it, even in its strictly negative capacity. This becomes evident when one considers how far this way of argumentation leads Śaṅkara into metaphysical nihilism and that the barrier he believes keeps him from falling into a nihilistic position is very flimsy indeed. To clarify: In denying the existence of an external world Śaṅkara believes he has affirmed the primacy of the internal world, the life of consciousness. Further, he believes he has shown that consciousness itself is homogeneous and unchanging. The constant flux attributed to it by the Vijñānavādin is also an illusion. There is only one, eternal, pure consciousness – the Non-dual. But what positive evidence do we have for this non-duality? When we eliminate the external world and then go on to subtract multiple conscious experiences, are we not in fact left with simply nothing? This is indeed the conclusion arrived at by the Śūnyavādin Buddhists, a conclusion that Śaṅkara determinedly tries to resist by appealing to the principle that an illusion, though unreal, requires a real substratum.[54] He presents this idea in a long discussion at MKBh II.32, which at this point deserves to be analysed. There he refers to the well-known analogy of a rope falsely imagined

to be a snake: when the hallucination of the snake is gone, the thing that is not imagined, the rope, is still there. But an opponent objects that this analogy is inappropriate insofar as the rope, too, serving as the substratum of the false notion of the snake, is imagined. (Indeed, Śaṅkara in his idealistic arguments has done away with all concrete objects that might serve as the basis for an analogy. In denying the existence of the external world altogether he has done away with ropes, deserts, lakes, the sorts of thing on which hallucinations are usually projected.) Śaṅkara, however, goes on to insist that what remains when false notions are sublated is real and not imagined, simply by the fact that it is what is left behind when imaginations cease. And when we recognize it for what it is, we assume it to have been there all along. Moreover, he concludes, since everyone assumes that the agent of imagining – which for him is none other than the self, i.e., the Non-dual – is given prior to the rise of the false notion (of duality), its non-existence is impossible.[55] Now in evaluating Śaṅkara's arguments it will be readily seen that his solution for the problem of nihilism is largely gratuitous. He assumes that when duality is removed there *is* something left behind, a viable candidate for the real, while that is precisely what the Śūnyavādin wishes to have proved. Moreover, although a coherent self-denial may be impossible – that, I take it, is what he is referring to in his final statement about the agent of imagination[56] – that does not mean that the function of subjectivity, the self, will still remain when no denials or affirmations are made, when no experience is had whatsoever. Whether Śaṅkara could ultimately salvage the notion of a pure consciousness at the basis of appearances along these lines is a moot question here. The point is, his argument simply leaves off with this suggestion. He does not go on to scrutinize the idea of the self with the same zeal, the same ruthless logic that he applies to the notions of duality and becoming. Had he done so, he would have

come to see in this matter also powerful negative arguments lined up on both sides of the issue.[56a]

To put this point somewhat differently, Śaṅkara may very well have been, at the end of composing the MKBh, on the verge of a transition in his thinking that actually occurred in the history of Buddhism. Two main schools of Mahāyāna Buddhism in India have been mentioned: the nihilistic Śūnyavāda, or the doctrine of emptiness, and the more positively oriented Vijñānavāda, the doctrine of consciousness-only. We know that, historically, the Vijñānavāda came after the Śūnyavāda and almost certainly represents a reaction against the extreme apophasis of the latter.[57] For the Śūnyavāda teaches not just the unreality of the external world and the exclusive reality of subjective experience. It also postulates an unchanging, unconditioned pure thought underlying ever-changing subjective experiences, very much like Śaṅkara's pure consciousness[58] – a fact that Śaṅkara in his critique of Buddhism notoriously ignores. It may well be that the MKBh represents an effort on Śaṅkara's part to think through for himself the negative approach to the Absolute, at the end of which he arrives at the same feeling of dissatisfaction that the Buddhists felt for a theory that is in effect no theory, which simply kicks away all the supports for thought. It is in this sense reasonable that Śaṅkara, discontented with the results achieved by strictly negative rational analysis in Vedānta, would in subsequent works look to a more powerful source of knowledge than mere argument on which to rely in affirming his conviction in a positive ultimate – namely, scripture.

When we turn to the BrSūBh, in any case, we find Śaṅkara arguing passionately *against* idealism.[59] But this is certainly not because he has come to believe that the arguments of the realist are *right* while those of the idealist are *wrong*. Upon examination the arguments for both sides reveal little that was not already brought to light in the

debate of the MKBh. It is just that now the arguments that occurred there in the *pūrvapakṣa* (objections) occur here in the *siddhānta* (thesis) and *vice versa*.[60] In other words, Śaṅkara has not changed his mind because of compelling new logical considerations having to do with the realism/idealism issue itself. Nor is this change of allegiance to be attributed to a turning away from Yoga, as Vetter suggests. What that would have to do with the matter is obscure.[60a] Moreover, there is not much evidence in favor of the hypothesis that Śaṅkara completely renounced the practise of Yoga as a means to liberation and much evidence against it, as I argue elsewhere.[61] Rather, I believe that this reversion from idealism back to realism with respect to, specifically, the facts of perception and the problem of the external world has to do, in the first place, with Śaṅkara's loss of faith in the power of rational argument altogether – for the reasons which he expounds at length in the BrSūBh itself and which I have endeavored to explain in this paper – and, in the second place, with the emergence of the conviction that scripture proceeds in a manner quite different from that of the subjective idealist in demonstrating the illusoriness of the world. With regard to the latter point, Ingalls has made some cogent observations which it seems appropriate to quote here:

Śaṃkara did not *begin* by denying the reality of the workaday world; he was forced into this position in order only to explain the unchanging and eternal and universal *brahma*. This appears very clearly when we review the passages in which Śaṃkara defends his theory of *avidyā* (ignorance) and *māyā* (illusion). One may sum up the defense under three headings. First, *the inner truth* (see, for example, I.i.1). Given the immediate knowledge of the constant self, we cannot righly attribute to this self the variations of the external world. Then, *the ultimate truth* (see, for example, II.i.27). Given the concept of a partless *brahma*, which is universal, we cannot explain the external world as parts of *brahma*, nor can we explain changing circumstances as varying states of *brahma*. The external world must be simply an appearance. Thirdly, *scripture* (for example, II.i.14). Naturally, Śaṃkara puts this first and derives his theory from his interpretation of such passages as *tat kena kaṃ vijānīyāt* (then [viz., when duality has ceased] by what means would one know that?) and *vācārambhaṇaṃ vikāro nāmadheyam* (according to the interpretation of Śaṃkara, which has been much contested, this means: "the alteration [of the one into many] depends on speech; it is simply

a name").Whatever facet of this defense we examine, we find it begins with the reality of *brahma-*, the unreality of the external world follows only as a deduction.[62]

Stating this somewhat differently, according to the actual sequence of the teaching in the BrSūBh: the procedure of developing monism there is to maintain, first, that Brahman is the source of the universe (1.1.2); second, to specify that this means it is the *material cause* of everything (I.4.23); finally, in accordance with such scriptural passages as *Chāndogya Upaniṣad* 4.1.4 ("As by one lump of clay all that is made of clay is known, the modification [i.e., the visible effect consisting in a pot] being merely a name based on speech"), to show that nothing has any reality apart from it (2.1.14). Thus the ubiquity and unity of consciousness is established – for Brahman is *in essence* consciousness – without directly questioning the authority of the senses within their proper realm. Although the illusory character of diverse phenomena is ultimately implied, the dichotomy of self and world, the fact of perception, remains valid up to a point – the point, namely, where this inference is drawn, at which time the individual subject of consciousness disappears along with its perceived object. (Acknowledging this, Śaṅkara is able to uphold the relevance of *karma* and *upāsanā*, which presuppose subject and object, as aids for attaining liberation until liberation actually emerges.) The model for this kind of idealism in the West is Fichte's philosophy, which envisions an Absolute Ego or pure consciousness at the basis of everything, immediately evolving into a finite I and a real world opposed to it. We term this "absolute idealism" in contrast to "subjective idealism", the type of idealism developed by Berkeley.[63] With this doctrine firmly grounded on scripture and supporting reasoning, Śaṅkara is able to turn completely against the (subjective) idealistic arguments associated with the Buddhists on which he once relied in establishing his system but now no longer needs. For the arguments themselves, he is convinced, have no inherent validity,

nor, indeed, do the realist objections to them, except insofar as they serve to refute the heterodox view.

In conclusion, we can go along with Prof. Ingalls when he suggests in another article that Śaṅkara was not really a philosopher (but primarily a spiritual master intent on leading his disciples to liberation), if by that we mean he was not a rationalist.[64] Śaṅkara did not believe that reason by itself can get at the Truth. At the same time, we should not go too far in comparing him to the Buddha on this score. Śaṅkara was not altogether averse to engaging in philosophical dispute, while the Buddha apparently was. Indeed, Śaṅkara was a skilled polemicist, and his reliance on reason was mainly in that capacity. From his direct statements and from his procedure in other cases, one understands that Śaṅkara held the not unreasonable view that the truth is to be known through scripture, yielding an intuition. Once known, it is to be vigorously defended against the attacks of the rationalists, using the same weapons they use. It would be an interesting exercise to determine how far such a view coincides or conflicts with that of his contemporaries regarding philosophical controversy (*kathā*), perhaps subjecting his writings to an analysis in terms of the Nyāya categories of rhetoric: *vāda* (discussion), *jalpa* (sophistry), *vitaṇḍā* (cavil), and so on. (Śaṅkara is notoriously unscrupulous in interpreting the Veda to fit his own meaning; a complete assessment of his contribution to Indian thought would require that we judge whether he is unfair in his treatment of his philosophical opponents as well.) Further, it is possible and necessary to trace the origin of Śaṅkara's view in the Pūrva-Mīmāṃsā theory of the eternality of language, on which the unassailable authority of the Veda is based.[65] But these topics must be left for future studies.

Since a systematic-philosophical approach to Śaṅkara's theory has been adopted here, it remains to say a few words in evaluation of it.

The correct response to Śaṅkara's misological attitude, I believe, was spelled out by Plato in the *Phaedo*. There he likens the hatred of reason (misology) to the hatred of men (misanthropy). Both arise in the same way, as the result of the repeated disappointment of faith uncritically placed in a thing. Plato emphasizes that one should not blame arguments for one's disappointment but oneself, for naively believing that one was in possession of a trustworthy argument when in fact none was there. Just because we are unable to discover a valid argument with regard to a certain matter does not mean no such arguments exist, any more than one's inability to find an honest man means there are no honest men.[66] From this point of view I think Śaṅkara's claim that reason is without foundation (*apratiṣṭhita*) is itself without foundation. On the other hand, as we saw, his rejection of reason does not rest solely on this point, nor does he reject it *in toto*. In emphasizing philosophical relativity Śaṅkara may well have had a practical rather than a strictly logical point in mind: that rational argument goes on almost endlessly until a conclusion is reached, and the goal of liberation may be thereby missed because one never gets around to it.[67] This would bring Śaṅkara closer to the Buddha, who in the famous story thought Mālunkyaputta would die before his curiosity about philosophical matters could be exhausted. It also brings us back round to St. Thomas Aquinas, who states that reasoning must be supplemented by scripture in particular because not all men are disposed by temperament to learn of God in that way, nor do all those who would do so have the ability, and those who have the ability scarcely succeed after a longtime.[68]

In this paper the attempt has been made to tie together apparently discrepant aspects of Śaṅkara's thought by showing them to be ramifications of a single idea, an idea to which he himself gives emphatic expression. This method, which may be called the "internal" approach, is in contrast to various "external" explanations that can

and have been offered for Śaṅkara's changing colors on philosophical issues: that his ideas are strictly determined by the text he is commenting on at the time; that an ulterior motive is often at work – such as, in the case of the problem of idealism, the need to defend himself against the charge of being a crypto-Buddhist. My contention is that both approaches must be pursued simultaneously (although certain investigators will naturally be inclined to take one approach rather than the other). It may be that Śaṅkara is slavishly orthodox in many of his interpretations and that motives depending on historical circumstances determined him to ally himself with one school rather than another. But if we fail to see the internal coherence of his ideas despite this – a coherence which perhaps does not derive from Śaṅkara himself, but goes back to the texts he is commenting on – then we have missed something extremely important, *the fertile ideological ground that makes it possible for such factors to operate*. It is in any case wrong to proclaim that Śaṅkara's writings do not constitute a *system* – which arouses the zeal of those who love to find 'layers' in texts – before an earnest attempt has been made to interpret them systematically.[69] As for the statement that a truly accurate assessment of a philosopher such as Śaṅkara can not be made until critical editions of his works are available, this is a truism indeed.[70] But that is no more a valid reason to postpone the creative philosophical discussion of Śaṅkara's ideas than the absence of an up-to-date, critical edition of the New Testament is a valid reason not to pursue theology. Indian philosophy, even at the present early stage in our understanding of it, suggests to some persons crucial metaphysical and theological issues that demand answers whether they are ultimately to be judged the actual ideas of the philosophers of ancient times or not.

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NOTES

[1] A version of this paper was read at the American Oriental Society, Midwest Branch, meeting at Cincinnati, February, 1980.

[2] Paul Hacker, "Śaṅkara der Yogin und Śaṅkara der Advaitin. Einige Beobachtungen," *Beiträge zur Geistesgeschichte Indiens. Festschrift für Erich Frauwallner*, (ed.), G. Oberhammer (Vienna, 1968) (= *Wiener Zeitschrift für die Kunde Süd- und Ostasiens* 12–13 [1968–69]), 119–148; also, "Vedānta-Studien: 1. Bemerkungen zum Idealismus Śaṅkaras," *Die Welt des Orients* 3 (1948), 240–249.

[3] Hacker (1968), p. 135.

[4] Daniel H. H. Ingalls, "Śaṃkara on the Question: Whose is Avidyā?" *Philosophy East and West* 3, No. 1 (1953), 69–72.

[5] Tilmann Vetter, "Zur Bedeutung des Illusionismus bei Śaṅkara," *Festschrift Frauwallner*, 407–423.

[5a] This material has been dealt with previously, with different purposes in view, by: Olivier Lacombe, *L'absolu selon le Védānta* (Paris: 1937), pp. 218–224; Hajime Nakamura, "A Conflict between Traditionalism and Rationalism: a Problem with Śaṃkara," *Philosophy East and West* 12, No. 2 (1962), 153–162; and, most recently, Shlomo Biderman, "Scriptures, Revelation and Reason," in Ben-Ami Scharfstein, et. al., *Philosophy East/Philosophy West: a critical comparison of Indian, Chinese, Islamic and European philosophy* (New York: Oxford University Press, 1978), pp. 128–161.

[6] The so-called *utsūtra*-criterion proposed by Hacker, However, must be kept in mind. If Śaṅkara gives more than a mere paraphrase of the text he is commenting on, he may well be presenting his own view. If, on the other hand, his comment does not go beyond that of a paraphrase, he may be "practising a supple adaptation indicative at once of his respect for the authority of the text and his reserve toward individual opinions stated in it" ("Notes on the Māṇḍūkyopaniṣad and Śaṅkara's Āgamaśāstravivaraṇa," *India Major. Congratulation Volume Presented to Jan Gonda*, (ed.), J. Ensink and P. Gaeffke [Leiden, 1972], p. 115). Of course, Śaṅkara may have in many cases felt an extensive discussion of a text *with which he fundamentally agreed* was inappropriate, since its meaning was already, in his opinion, adequately clarified by tradition. Thus Hacker's criterion is not a *necessary* condition for Śaṅkara's positive affirmation of a doctrine (although it is a safe rule of thumb). At the same time it is not a *sufficient* criterion. Śaṅkara may, even in his longer independent philosophical discussions, have been the (willing or unwilling) heir of ideas from a weighty commentatorial tradition before him. Ingalls gives evidence of this with regard to Śaṅkara's arguments against the Buddhists in the BrSūBh, many of which closely resemble those presented by Bhāskara in his *Brahma Sūtra* commentary and therefore probably stem from a proto-commentator (see "Śaṃkara's Arguments Against the Buddhists," *Philosophy East and West* 3, No. 4 [1954], 291–306). The passages of the BrSūBh to be dealt with in the present

study are extensive *utsūtra* discussions which go well beyond the ideas indicated in Bhāskara's work.

7 Śaṅkara does not make a technical distinction in this discussion between *tarka* and *anumāna* in the Naiyāyika sense. He employs *tarka* generally to include *anumāna*. I shall, accordingly, render the term *tarka* variously as "logic", "logical argument", "reason", etc., *anumāna* more specifically as "inference".

8 *vedāntavākyakusumagrathanārthatvāt sūtrānām. vedāntavākyāni hi sūtrair udāhṛtya vicāryante. vakyārthavicāraṇādhyavasānanirvṛttā hi brahmāvagatiḥ, nānumānādipramāṇāntaranirvṛttā. satsu tu vedāntavākyeṣu jagato janmādikaraṇavādiṣu tadarthagrahaṇadārḍhyāyānumānam api vedāntavākyāvirodhi pramāṇam bhavan na nivāryate.* ... *Brahmasūtraśāṅkarabhāṣyam*, ed. Nārāyan Rām Āchārya (Bombay: Nirṇaya Sāgara, 1948), pp. 7, 24–8, 2. The translation of G. Thibaut has been consulted: *The Vedānta Sūtras of Bāḍarāyaṇa with the Commentary of Śaṅkara* (1890–96; rpt. New York: Dover, 1962).

9 *na dharmajijñāsāyām iva śrutyādaya eva pramāṇam brahmajijñāsāyām, kiṃtu śrutyādayo ʾnubhavādayaś ca yathāsambhavam iha pramāṇam; anubhavāvasānatvād bhūtavastuviṣayatvāc ca brahmajñānasya.* BrSūBh 1.1.2, p. 8, 5–8.

10 BrSūBh 1.1.2, p. 8, 19–26.

11 This suggestion may derive from Dharmakīrti. See G. Oberhammer, "Der Gottesbeweis in der indischen Philosophie," *Numen* 12 (1965), pp. 12–14.

12 BrSūBh 2.1.4, 6, 11, 13.

13 Among these are *Kaṭha Upaniṣad* I.2.9, "This idea, my dear, is not to be acquired by logic, only stated by another [is it conducive to] sound knowledge," *naiṣā tarkeṇa matir āpaneyā proktānyenaiva sujñānāya preṣṭha; Bhagavad Gītā* II.25, "It is called unmanifest, unthinkable, unchanging," *avyakto ʾyam acintyo ʾyam avikāryoʾyam ucyate.*

14 *yad api śravaṇavyatirekeṇa mananaṃ vidadhac chabda eva tarkam apy ādartavyaṃ darśayatīty uktam. nānena miṣeṇa śuṣkatarkasyātmalābhaḥ sambhavati. śrutyanugṛhīta evahy atra tarko ʾnubhavāṅgatvenāśrīyate.* BrSūBh 2.1.6, pp. 188, 20–189, 1.

15 *svapnāntabuddhāntayor ubhayor itaretaravyabhicārād ātmano ʾnanvāgatatvaṃ, samprasāde ca prapañcaparityāgena sadātmanā saṃpatter niṣprapañcasadātmatvaṃ, prapañcasya brahmaprabhavatvāt kāryakāraṇānyatvanyāyena brahmāvyatireka ity evaṃjātīyakaḥ.* BrSūBh 2.1.5, p. 189, 1–4.

16 *api ca saṃyagjñānān mokṣa iti sarveṣāṃ mokṣavādinām abhyupagamah. tac ca saṃyagjñānam ekarūpam; vastutantratvāt. ekarūpeṇa hy avasthito yo ʾrthaḥ sa paramārthaḥ. loke tadviṣayaṣ jñānaṃ saṃyagjñānam ity ucyate, yathāgnir uṣṇa iti. tatraivam sati saṃyagjñāne puruṣāṇāṃ vipratipattir anupapannā. tarkajñānānāṃ tv anyonyavirodhāt*

prasiddha vipratipattiḥ…. vedasya tu nityatve vijñānotpattihetutve ca sati vyavasthitārthaviṣayatvopapatteḥ, tajjanitasya jñānasya saṃyaktvam atītānāgatavartamānaiḥ sarvair api tarkikair apahnotum aśakyam. ataḥ siddham asyaivaupaniṣadasya jñānasya saṃyagjñānatvam. BrSūBh 2.1.11, pp. 193, 24–194, 13.

[17] The objections by the opponent (2.1.11) that Śaṅkara himself employs reasoning in rejecting reasoning, and that scriptural conflicts must be arbitrated by reason, are not denied. When he says, *yady api kvacid viṣaye tarkasya pratiṣthitatvam upalakṣyate, tathāpi prakṛte tāvad viṣaye prasajyata anirmokṣaḥ*…, he is apparently referring to these matters. See further BrSūBh 2.1.13 where it is suggested (again, in the *pūrvapakṣa*) that in areas where other *pramāṇas* do properly apply, scripture should be secondary. Logic is unfounded only outside its proper realm: *yadyapi śrutiḥ pramāṇaṃ svaviṣaye bhavati, tathāpi pramāṇāntareṇa viṣayāpahāre ʾnyaparā bhavitum arhati…. tarko ʾpi svaviṣayād anyatrāpratiṣṭhitaḥ syāt*…. p. 195, 7–10.

[18] BrSūBh 2.1.11, p. 193, 23–24. According to Advaita Vedānta, Brahman is devoid of all properties.

[19] *Summa Theologica* QI, Art. 1, trans. by A. Pegis, *Introduction to St. Thomas Aquinas* (New York: Random House, 1945).

[20] Loc. cit.

[21] Ibid. QII, Art. 2.

[22] Loc. cit.

[23] *Kenopaniṣat Śrīrnacchaṅkarācāryakṛtapadavākyabhāṣyābhyāṃ tathā Śrīraṅgarāmānujakṛtaprakāśikayā ca sametā* (Poona: Oriental Book Agency, 1919), *Vākyabhāṣya* III.1, pp. 27–32. On the authenticity of the *Vākyabhāṣya* see S. Mayeda, "Śaṅkara's Authorship of the Kenopaniṣadbhāṣya," *Indo-Iranian Journal* 10, No. 1 (1967), 33–35.

[24] *Summa Theologica* QII, Art. 2. See also, QXII, Art. 12.

[25] BrSūBh 1.1.1, p. 6, 9–13. See also BrSūBh 2.3.7, p. 268, 10–14.

[26] BrSūBh 1.1.1, p. 6, 15.

[27] *Vākyabhāṣya* III.1, p. 29.

[28] *Summa Theologica* QXII, Art. 4.

[29] *The Summa Contra Gentiles*, (ed. and trans.), The English Domenican Fathers (London: 1924), p. 9.

[30] This is the basic assumption underlying the view at BrSūBh 1.1.4, in particular (e.g., p. 21, 15–25). Only in later Advaita works do we encounter the beginnings of an epistemology to

account for the possibility *of mokṣa*. See, e.g., *The Vedāntasāra*, (ed.), M. Hiriyanna (Poona, 1962), pp. 11–12. For discussion see L. Schmithausen, "Zur Advaitischen Theorie der Objekterkenntnis," *Festschrift Frauwallner*, 229–260.

[31] See R. de Smet, "Langage et connaissance de l'Absolu chez Çaṃkara," Revue *Philosophique de Louvain* 52 (1954), 31–74.

[32] *Bṛhadāraṇyakopaniṣad Ānandagirikṛtaṭīkāsaṃvalitaśāṅkarabhāṣyasametā. Ānandāśrama Sanskrit Series* No. 15 (1891), III.9.28.7, pp. 496–501.

[33] *naiṣa doṣaḥ. śabdaprāmāṇyād bhaved vijñānam ānandaviṣayam. vijñānam ānandam ityādīni ānandasvarūpasyāsaṃvedyatve ʼnupapannāni vacanāni.… nanu vacanenāpy agneḥ śaityam udakasya cauṣṇyaṃ na kriyata eva. jñāpakatvād vacanānām. na ca deśāntare ʼgniḥ śīta iti śakyate jñāpayitum.* Ibid., pp. 497, 11–498, 1.

[34] Ibid., p. 498, 8–9.

[35] Ibid., p. 499,3–4.

[36] See note 17.

[37] Bṛh. Up. Bh. III.9.28.7, p. 497, 3–4.

[37a] Thus Śaṅkara says, BrSūBh 2.2.33, p. 253, 5–6, in opposition to a Jain position: *na hy ekasmin dharmiṇi yugapat sadasattvādiviruddhadharmasamāveśaḥ saṃbhavati, śītoṣṇavat*. In the text we are considering this example seems to indicate also that the Veda cannot deny the validity of other *pramāṇas*, "perception, etc." (*pratyakṣādi-*), in general.

[38] "Letter to Mersenne, Apr. 15, 1630," *Descartes. Philosophical Letters*, (trans. and ed.), A. Kenny (Oxford: Clarendon Press, 1970).

[39] Hacker (1968), p. 120.

[40] Vetter (1968), p. 417. After citing a rejection by Kumārila of the authenticity of Yoga experience, Vetter goes on to say that "Śaṅkara beim Schreiben des BrSūBh entweder mit einer Tradition zu tun bekam, die nur für realistische Argumente zugänglich war, oder in seiner persönlichen Entwicklung an einen Punkt kam, wo ihn die intellektuelle Ehrlichkeit dazu zwang, sich von einer Welt der Erfahrung zu distanzieren, an der er offensichtlich keinen Teil hatte (beides braucht sich nicht auszuschliessen)."

[41] Also called the *Gauḍapādīya Kārikā Bhāṣya* and the *Āgamaśāstravivaraṇa*. On Śaṅkara's authorship see S. Mayeda, "On the Author of the Māṇḍūkyopaniṣad- and the Gauḍapādīya-Bhāṣya," *Adyar Library Bulletin* 31–32 (1967–68), 73–94.

[42] See Vetter (1968), pp. 409f.

[43] *Sagauḍapādīyakārikātharvavedīyamāṇḍūkyopaniṣad Ānandagirikṛtaṭīkāsaṃvaliṭaśāṅkarabhāṣyasametā. Ānandāśrama Sanskrit Series* No. 10

(1936), II.1, p. 65.

[44] MKBh III.1, p. 103.

[45] MKBh IV.1, p. 156.

[46] See especially MKBh III.13, p. 118, 6–8: When the non-difference of the individual soul and the self is praised (*praśasyate*) and multiplicity reviled (*nindyate*), "that is what is fitting [,that is,] right knowledge that is proper (*samañjasam ṛjvavabodhaṃ nyāyyam*). But the false, distorted views of the logicians do not have effect when they are investigated (*nirūpyamānā na ghaṭanāṃ prāñcanti*)" i.e., they do not lead to liberation.

[47] *vigatadoṣair eva paṇḍitair vedāntārthatatparaiḥ sanyāsibhiḥ paramātmā draṣḍum śakyo nānyair rāgādikaluṣitacetobhiḥ svapakṣapātidarśanais tārkikādibhiḥ*…. MKBh II.35, p. 99, 1–2.

[48] *na tārkikaparikalpitātmavat puruṣabuddhipramāṇṇagamyaḥ*…. MKBh III.11, p. 116, 12.

[49] If the cause itself is born from something else, we have a regress.

[50] See especially IV.3–5, where Śaṅkara identifies the dualists as the Sāṃkhyas on one side and the Vaiśeṣikas and Naiyāyikas on the other. The *satkāryavāda* is attacked at length at IV.11–22, also II.19–22. The Vaiśeṣikas view receives less attention, but is apparently referred to also at III.28.

[51] MKBh IV.28, p. 177, 20–21.

[52] Loc. cit.

[53] … *dvaitino 'py ete 'nyonyasya pakṣau sadasator janmanī pratiṣedhanto ajātim anutpattim arthāt khyāpayanti*…. *fair evaṃ khyāpyamānām ajātim evam astv iti anumodāmahe kevalaṃ, na tair … vivadāmaḥ*…. MKBh IV.4–5, pp. 159–160. This is a close gloss of the *kārikā* text.

[54] Cf. *Nyāyabhāṣya* IV.2.35.

[55] MKBh II.32, pp. 82–83. My interpretation follows Ānandagiri's *ṭīkā*.

[56] See note 25.

[56a] At MKBh III.27 Śaṅkara provides another argument in favor of his position: We are able to infer the reality of the self from its effect – the origination of the world – as we are able to infer the existence of a magician from the illusion he creates. This argument is analogous to St. Thomas' second way of proving God's existence (ST QII, Art. 3), which is notoriously problematic.

[57] A similar transition occured when Buddhism was introduced in China. See R. Gimello, "Apophatic and Kataphatic Discourse in Mahayana," *Philosophy East and West* 26, No. 2 (1976), 117–136.

[58] See E. Conze, *Buddhist Thought in India* (Ann Arbor: Univ. of Michigan, 1967), pp. 252f.

[59] BrSūBh 2.2.28–32.

[60] The realist argument in the BrSūBh *siddhānta* that external objects are perceived as *objects* of perception (*upalabdhiviṣayatvenaiva*), not *as perceptions* (BrSūBh 2.2.28, p. 248, 7–16), is echoed at MKBh IV.24: consciousness has a [n external] cause (*sanimittatvd*), it has an object distinct from itself (*svātmavyatiriktaviṣayatā*). But in the MKBh this occurs as a *pūrvapakṣa*, to be subsequently set aside in favor of the idealist point of view. The realist thesis put forward in the BrSūBh that the impossibility of external objects cannot be maintained in the face of their actual perception (BrSūBh 2.2.28, p. 248, 23–27), urged against an idealist claim for which we find a close parallel in the MKBh (see above, p. 294), can be taken as no more than subborn insistence on the same point. The realist argument of the BrSūBh that the distinction of the idea of a cloth from that of a pot is due to a difference in the objects of consciousness rather than in consciousness itself (like the difference between a white cow and a black cow is a difference in color, not cow-ness) (BrSūBh 2.2.28, p. 249, 5–9) is contained in the thought of MKBh IV.24: *na hi prajñapteḥ prakāśamātrasvarūpāyā nīlapītādibāhyalambanavaicitryam antareṇa svabhāvabhedenaiva vaicitryaṃ saṃbhavati. sphuṭikasyeva nīlādyupādhyāśrayair vinā vaicitryaṃ na ghaṭate....* (p. 173, 13–15). Again, this idea is presented in the MKBh in the *pūrvapakṣa*, only to be later cast out. The point at BrSūBh 2.2.29 that waking experiences are not like dream experiences because dreams are contradicted by waking (therefore false) is made as if in direct – and arbitrary – opposition to the position of MKBh II.7: waking experiences are contradicted by *dreams*. Thus no new philosophical insights about this dispute guide the transition from the MKBh to the BrSūBh. In the BrSūBh the same arguments in support of realism are presented as in the MKBh, with the only difference that they are now seen to refute those same idealist arguments by which they were themselves, in the MKBh, considered refuted! Those ideas contained in Śaṅkara's polemic against the Buddhists in the BrSūBh to which Ingalls refers as innovations (Ingalls [1954]) are discussed by Ingalls as original contributions of Śaṅkara to the tradition of *Brahma Sūtra* exegesis (not as changes in his own beliefs), and have to do primarily with refinements in the criticism of the Vijñānavāda. But Śaṅkara rejects the Vijñānavāda in both the BrSūBh and the MKBh. (The realism of the BrSūBh is clearly opposed to Vijñānavāda idealism, and in the MKBh Śaṅkara tries to work out a *non-Buddhistic* version of idealism.) Such innovations, therefore, cannot count as factors that could have swayed Śaṅkara away from the type of idealism he defends in the latter work.

[60a] As was noted, waking consciousness is vitiated not just by *samādhi* but also deep sleep, according to the MKBh (see p. 295)! But then, contrary to what Vetter seems to believe, the rejection of the authenticity of *samādhi* would not be sufficient by itself to save the validity of waking consciousness in that regard. Furthermore, in his refutation of idealism in the BrSūBh Śaṅkara, unlike Kumārila in his refutation of idealism, does not even mention *samādhi*. Such a discrepancy suggests that Śaṅkara, who knew Kumārila's work, and who was apparently not averse to employing any other arguments against idealism he encountered, intentionally chose not to use Kumārila's argument – perhaps for the very reason that it calls Yoga experience into question.

[61] Yoga in some sense, at least, is retained as a preparation for enlightenment: J. Taber, *On the Relation of Philosophical Knowledge and Self-Experience in the Philosophies of Śaṅkara and J. G. Fichte. A Study in Transformative Philosophy*, dissertation, University of Hamburg, Germany, 1979.

[62] Ingalls (1954), pp. 304f.

[63] Among the German idealists Fichte is often referred to as a "subjective idealist", Hegel as an "absolute idealist", but only because Fichte thought one has direct access to the Absolute through the self, calling it "das absolute Ich". In his later works he renounces this subjective terminology. For a discussion of Fichte's philosophy in relation to Śaṅkara's, see J. Taber, op. cit.

[64] Ingalls (1953).

[65] Śaṅkara's discussion at BrSūBh 1.1.2 is clearly a continuation of one begun by Śabara. See E. Frauwallner, *Materialien zur ältesten Erkenntnislehre der Karmamīmāṃsā. Sitzungsberichte der Österreichischen Akademie der Wissenschaften. Philosophisch-Historische Klasse* 259, No. 2 (Vienna: Böhlaus, 1968), pp. 32–37.

[66] *Phaedo*, 89c–91b.

[67] This fits in well with the main concern of his comment at 2.1.11, which is "absence of release will ensue" (*avimokṣaprasaṅgaḥ*). But it is to be kept in mind that for Śaṅkara the attainment of Truth by rational means is impossible *in principle*. The practical idea, if it is there, is not clearly articulated. The fact that Śaṅkara does ultimately rest his case on the philosophical point that Brahman is beyond the senses shows indeed that he is more philosophically oriented than a thinker such as the Buddha.

[68] *Summa Contra Gentiles* I.5, pp. 7–9.

[69] Vetter makes such a claim in "Śaṅkara 'System'," *Zeitschrift der deutschen Morgenländischen Gesellschaft* Suppl. III, No. 2 (1977), 1015–21.

[70] Cf. W. Rau, "Bemerkungen zu Śaṅkaras Bṛhadāraṇyakopaniṣadbhāṣya," *Padeuma. Mitteilungen zur Kulturkunde* 7, Nos. 4–6 (1960), 294–299.

THE QUESTION OF DOCTRINALISM IN THE BUDDHIST EPISTEMOLOGISTS

RICHARD P. HAYES

> The human understanding when it has once adopted an opinion (either as being the received opinion or as being agreeable to itself) draws all things else to support and agree with it. And though there be a greater number and weight of instances to be found on the other side, yet these it either neglects and despises, or else by some distinction sets aside and rejects; in order that by this great and pernicious predetermination the authority of its former conclusions may remain inviolate.
>
> Francis Bacon (1561–1626)
> *Novum Organum* xlvi

Approximately one thousand years after the career of Śakyamuni Buddha, there arose in India a school of Buddhist philosophers whose putative interest was to set forth and describe the principles according to which beliefs may be deemed justifiable. Among the key figures in this movement were the philosophers Vasubandhu, Diṅnāga, Dharmakīrti, Śāntarakṣita and Kamalaśīla. In the present paper I wish to deal with two closely related questions pertaining to these Buddhist epistemologists. First, I should like to examine the stances taken by some of them on the question of the authority of Buddhist scriptures (*āgama*); essentially what I hope to discover is whether these epistemologists regarded the body of Buddhist canonical writings as sources of knowledge as opposed to regarding them, for example, simply as objects of worship or as liturgical instruments used in the generation of religious merit and its attendant powers.[1] And second, I should like to look into the question of whether the Buddhist epistemologists should be characterized primarily as champions of reason or rather as champions of dogma. In posing this second question, what I hope to determine is whether the men in question were motivated primarily

by the goal of trying impartially to determine a means of segregating knowledge from mere belief, or whether they were motivated by the more apologetic goal of trying to prove that the beliefs they held as Buddhists were true and justifiable while the beliefs of outsiders were unjustifiable dogmas. To state the problem in different terms, I should like to gain some insight into whether the principles evolved by these Buddhist epistemologists were seriously influenced by their partisanship to established Buddhist doctrines. Or was it rather the case that these men achieved—or tried to achieve—a nonpartisan logic, a set of epistemological principles that were doctrinally neutral in the way that, say, grammar is doctrinally neutral?

Let me put this question of the apologetic nature of the philosophers in question into an historical perspective. In the eleventh century—about five hundred years after the time of Diṅnāga—there began in Tibet one of several attempts to reestablish a more purely Indian form of Buddhism. This reform movement was carried out in part by sending scholars to India for the purpose of regaining contact with oral traditions that had become discontinued in Tibet during two centuries of political and social instability in that country. Among the oral traditions that had been lost was the logical tradition that had first been introduced into Tibet in the late eighth century by Śāntarakṣita and Kamalaśīla, both professors at Nālandā university. By the eleventh century, however, it had become rather difficult to find Buddhist pandits in India; one or two were found in Kaśmir, but they had become Buddhists late in life, and for the rest the Tibetans had to make to with non-Buddhist scholars who had some knowledge of the works of the Buddhist thinkers of former centuries. Hence, all told, the rediscovery of Indian Buddhist epistemology in Tibet was achieved largely through the agency of non-Buddhists or of men who, though converts to Buddhism, had received most of their educations from non-Buddhist teachers.

Looking back on this situation some one hundred years later, the great reformer of Tibetan Buddhism, Kun dga' rgyal mtshan (1182–1252), the Sa skya Paṇḍita, felt alarmed at how many "foreign elements" might have worked their way into the understanding of Buddhist logic and epistemology. And in order to rectify this undesirable situation, the renowned pandit of Sa skya monastery undertook to write an extensive account of what he called the root and branches of Buddhist logic and epistemology; the root was Diṅnāga's *Pramāṇasamuccaya* and the seven branches were the seven logical treatises of Dharmakīrti, namely, *Pramāṇavārttika, Pramāṇaviniścaya, Nyāyabindu, Hetubindu, Sambandhaparikṣā, Vādanyāya* and *Santānāntarasiddhi.* This new account of the root and seven branches was to be completely uncontaminated by any residual strains of Hindu doctrine.[2] Clearly, in twelfth century Tibet the notion of and desire for a Buddhist orthodoxy had arisen,[3] and the early Buddhist epistemologists came to be regarded among the mainstream of Tibetan intellectuals as champions of that orthodoxy, as men whose arguments could be counted on to rebuff the attacks that any outsider might make on established Buddhist doctrines.

The assumption that the Buddhist epistemologists had been primarily Buddhist apologists is not confined to twelfth-century Tibetan reformers. Modern historians of Indian thought such as Satkari Mookerjee, Stcherbatsky, D. N. Shastri, R. R. Dravid, C. L. Tripathi, and A. K. Warder have argued that a defense of Buddhist dogma was of central concern to the early epistemologists. Other twentieth-century scholars have argued that at least some of the Buddhist logicians of India had put doctrine in the background and were concerned primarily with refining the intellectual tools of logic and critical thinking rather than with furthering sectarian positions; among those who have argued some version of this position are Satischandra Vidyabhusana, M. Hattori, and Erich Frauwallner. The

position that a scholar takes on this issue can make a great deal of difference in how he interprets particular passages in particular texts. For, clearly, if we insist that an ancient author was setting out to defend a specific set of doctrines, then there are very definite constraints placed upon what interpretation of ambiguous passages we are allowed to entertain. Moreover, if we claim to know exactly which dogmas an ancient author was defending, then we are also claiming to have a relatively reliable guide through difficult parts of his work, and we may also believe that we have a comparatively trustworthy criterion by which to decide whether works attributed to that author were truly his or whether they were mistakenly attributed to him by later tradition.[4] Unfortunately, as useful as it would be to have certainty with respect to an ancient author's preferred dogmas, we almost never do have it, and all too often the assumption that an ancient author was defending a certain dogma is not very well founded. The obvious danger of making gratuitous assumptions is that we may force interpretations upon an author that differ from or are even incompatible with his actual intentions. Moreover, in assuming that a particular author had an inflexible commitment to some particular set of dogmas, we run the risk of overlooking subtle changes in his views resulting from intellectual growth. For these reasons I regard it as essential to try to determine for each individual text written by a Buddhist epistemologist whether its author's primary goal was to advance a doctrinally neutral science or whether it was to provide an apology for a specific set of doctrines. Obviously, in this paper I cannot examine more than a few passages in a few texts, but I hope that the passages I have chosen to discuss will be sufficiently representative of the authors in question to enable us to form tentative answers to the questions that I posed at the outset.

First, in order to put these discussions into perspective, I must lay down some historical and philosophical background to clarify what task the Indian epistemologists had set for themselves. Stated in its most general terms, the task of the epistemologist is to find a means of separating knowledge from mere belief. Knowledge is regarded as belief that is not only true but also justified. In other words, knowledge is belief that does not simply happen to be true but for which there is some well-considered set of criteria by appeal to which we can be relatively certain that it is true. So the task of the epistemologist is to try to find those criteria or standards against which we can measure our beliefs in order to determine which beliefs are relatively certain and which are not. There is obviously a great deal of room for controversy over the question of which criteria are competent to serve this purpose. One of the most controversial issues among the classical Indian epistemologists was over the question of whether revealed scripture (*āgama*) was capable in and of itself of justifying belief. This controversy actually involves a whole family of related questions, among the more important of which are the following: (1) If one believes some matter for no other reason than that the matter is proclaimed in scripture, is one's belief justified or not? (2) In case the information provided by scriptures conflicts with the information provided by direct experience or derived through reason, should we reject the scriptures, or should we rather doubt the reliability of the senses and the canons of logic? (3) If one does accept the possibility that scriptural traditions in general may be sources of knowledge, is it then possible to find a set of criteria that will establish one particular set of scriptures as a standard against which all others are to be measured? It is with this third question that the religious apologist is most likely to be concerned, for his task is usually to defend the authority of his own scriptural tradition and to show that whatever is incompatible with his

scriptures must be false. But the impartial epistemologist must also concern himself with this question.

Let us first look at the arguments of some of the Hindu thinkers who defended the Vedic system of scriptures as a source of genuine knowledge as opposed to a source of mere belief. The strategies used to defend scripture varied somewhat from author to author and naturally increased in complexity through several centuries of debate, but to begin the discussion I shall restrict myself to an early line of defense that had currency in the third and fourth centuries C.E., since it was during this time that the earliest Buddhist epistemological writings occurred. This first defense that I shall look at is very simple indeed and it is to be found in its essential form in both the *Sāṅkhyakārikā* of Īśvarakṛṣṇa (1967 edition, p. 45) and in Bhartṛhari's *Vākyapadiya* (1965 edition, pp. 30–31). Reduced to its bare structure, the argument goes like this: There are some beliefs that every sensible person has, such as a belief in the principle of karma with its underlying presupposition that every voluntary action is followed by its moral consequences that are either enjoyed in the present life or in some future existence. To this may be added the belief in divine beings, belief in the efficacy of religious rituals and practices, and belief in some final salvation in the form of a release from the cycle of rebirths. These beliefs are all well established in the minds of men, and yet they cannot be justified on the basis of ordinary experience or common inference. But they are discussed in scripture. Therefore, it is scripture and scripture alone that justifies our beliefs in matters outside the realm of what can be justified by ordinary means.

There are two aspects of the above argument that are particularly noteworthy. First is the point that it singles out a domain of objects concerning which the scriptures are said to have special authority, a domain of objects that are entirely unobservable and hence

unknowable by any means other than the scriptures themselves. As we shall see, this domain of ultrasensibles (*atīndriyāni*) plays a key role in most of the Indian discussions on the authority of scripture. In the discussions that follow, I shall refer to the domain of ultrasensibles in general, but here it may be mentioned that among the items to be included in that domain by various philosophers were such things as the following: God; the unobservable characteristics by virtue of which a person belongs to his caste; the gender of apparently sexless objects that are nevertheless named by masculine or feminine nouns in Sanskrit; the cause of the capacity of magnets to attract iron; the cause of motion in atoms; and the continuity from one rebirth to another of a single integrated collection of moral consequences regarded as belonging to just one individual sentient being. Generally speaking it was to this realm of ultrasensibles that the philosophers assigned all items of common belief for which no suitable empirical account could be found. And virtually all philosophers, except for the nihilistic Cārvākas whose views were despised by all religious thinkers, accepted the notion that some things do exist which have effects in the empirical world but which are themselves ultrasensible; the principal disagreements among philosophers concerned the specific occupants of the realm of ultrasensible existent things.

The second noteworthy aspect of the above argument is that it proceeds by a form of circular reasoning consisting in predetermining that some beliefs—namely, those that are commonly believed within a specific community—are true and then asserting that whatever states those beliefs—namely, scriptures—is thereby a source of truth. As we shall see, it was difficult for any of the defenders of any of the scriptural traditions in India to avoid this vicious circularity.

Brief mention has already been made of the strictly empirical Cārvākas, who denied that it was possible to have any certainty at all of things that lay beyond the realm of the senses of ordinary mortals. Since some of the Buddhist epistemologists evidently endorsed Cārvākan lines of argument against the authority of Hindu scriptures while nevertheless defending the principle that some knowledge of ultrasensible things is possible, it is worth sketching out the Cārvākan position in somewhat greater detail before discussing the views of the Buddhist epistemologists. The Cārvākas were decidedly strident in their criticisms of those who accepted the Vedic scriptures as sources of knowledge. The chief weakness of the Vedas in the Cārvākan view was precisely that feature which in Bhartrhari's view provided their greatest strength, namely, the fact that the Vedas dealt with matters for which there could never be any independent verification. In other words, they dealt with ultrasensible things, and for the Cārvāka believing in unltrasensible things was as irrational as believing in the truth of dreams or delirious visions. Moreover, claimed the Cāravākas, the Vedas were full of contradictions, and even the believers could never agree among themselves which passages had higher priority in cases of inconsistency. Therefore, although we mortals have no way of verifying any Vedic statements about the ultrasensible, we can at least be certain from the presence of contradictions that some Vedic statements must be false. But if the reciters of the Vedas transmitted any false statements at all, then they lose their authority altogether, for we can never place our trust in speakers who are known to bear false witness, whether by deliberate deception or honest errors. And, finally, say the Cārvākas, we have every reason to mistrust the transmitters of Vedic texts, because these men have a vested interest in encouraging our belief in all their ultrasensible fictions; it is quite plain to see that the more we believe in the intangible benefits alleged to accrue to those who sponsor the performance of rituals prescribed in the Vedas, the more

money flows to the priests who perform these religious services. In the final analysis, the Cārvākan felt safe in dismissing the Vedas as "nothing more than the gibberish of charlatans" (*dhūrtapralāpamātra*), the outpourings of "crafty hypocrites proclaiming themselves holy" (*vaidikammanya dhūrtabaka*) (Mādhava, 1906 edition, p. 2). In this deluge of vituperative rhetoric, the Cārvākas did hit upon two issues that demanded attention from the defenders of scripture: (1) the question of the integrity of those who revealed and transmitted scripture, and (2) the question of logical consistency as a necessary condition for credibility.

One final bit of background information to consider before dealing with the Buddhist epistemologists concerns the Brahmanical response to the Cārvākan attack on their scriptures; for, as we shall see, the Buddhist defenses of their own scriptures were identical in form to the Hindu defenses of the Vedas. Let us take up the two Cārvākan points of criticism in turn. First, in reply to the Cārvākan accusation that the Vedas were logically inconsistent, the Brahmanical philosophers Gotama, Vātsyāyana Pakṣilasvamin and Bharadvāja Uddyotakara of the Nyāya school claimed that careful reading of the scriptural passages in their proper contexts would show that all seeming inconsistencies were only apparent. That people found inconsistencies in the scriptures was only a reflection of the superficiality of their knowledge of scriptures rather than a reflection of real flaws in the scriptures themselves; but those people who carefully studied the scriptures in all their enormous complexity according to well-established principles of exegesis (*mīmaṁsā*) could avoid the mistakes committed by untutored investigators. Second, in reply to the Cārvākan accusation that the priestly transmitters of the Vedas were self serving hypocrites interested only in increasing their own wealth, the early Nyāya philosophers advanced the counterclaim that the original authors of the scriptures had well-established

credentials not only as men with good intentions but also as men with adequate knowledge to accomplish their good intentions, for the authors of scriptures were exactly the same men as those who had been the authors of the Atharvāveda, the earliest collection of charms and spells for healing and other practical benefits. In their role as medical practitioners and physical healers these men had known what people must do in order to be physically well, and because they wished to work for the wellbeing of others, they instructed those who would not otherwise have access to such knowledge on what they must do to be healthy. And following these teachings led to tangible results. Similarly, in their capacity as authors of the other three Vedas, these same sages had known what people must do in order to be spiritually well, and they had altruistically informed others of what those others would not otherwise know. If these sages had proven trustworthy in all matters where we can test their claim against our own experiences, then, say the Nyāya authors, it is perfectly reasonable to expect them to be trustworthy also in all other matters in which they claim expertise, even if those matters are for us ultrasensible. So according to these early Nyāya writers the Vedas are competent to justify beliefs concerning ultrasensible realities—on this point they agree with Īśvarakṛṣṇa and Bhartṛhari. But where Gotama, Vātsyāyana and Uddyotakara differ is that for them the authority of the Veda derives not from the mere fact that these scriptures proclaim beliefs that every pious man wishes to be true, but rather from the fact that these scriptures were written by trustworthy persons (*āpta*), a trustworthy person being someone who knows what people must do in order to achieve a specified result and is motivated by his altruism to inform others of what is truly beneficial for them. The Vedas, according to this principle, are not necessarily different in kind from any other body of literature composed by well-intentioned experts.

Given the foregoing review of the stances taken by the early medieval Hindu philosophers and their critics on the capacity of scriptures to yield genuine knowledge, we now have a context in which to examine the stances taken by the Buddhist epistemologists on the authority of the Hindu and Buddhist scriptural traditions. A natural place to begin this phase of our investigation is with the writing of Vasubandhu (ca. 400-ca. 480 C.E.), who is credited with writing not only an encyclopedic work on Buddhist dogmatics from the perspective of the Vaibhāṣika school of Kaśmir, and two influential treatises outlining the essence of the Mahāyānistic Yogācāra school, but also two elementary tracts on logic and epistemology.[5] Some of Vasubandhu's attitudes towards the Buddhist scriptures are articulated in his masterpiece, the *Abhidharmakośa* (Treasury of Dogmatics). In this work Vasubandhu states explicitly that there is no means of attaining salvation other than through the accurate discrimination of pure and impure characteristics (i.e., personality traits), for it is only when one has correctly understood which characteristics are beneficial and which are malignant that one can cultivate the good aspects of one's character and eradicate the bad. And the purpose of engaging in the systematic study of the Buddha's teaching is to help develop this capacity for accurate discrimination. The study of other systems of thought than Buddhism, says Vasubandhu, fails to lead to salvation, because other systems are vitiated by erroneous views, and acting in accordance with misconceptions is bound to be counterproductive.[6] Since Vasubandhu places such a high premium on the necessity of following the true religion in order to attain salvation, it is naturally incumbent upon him to address the issue of whether the Buddha's religion is indeed the true one and whether he, Vasubandhu, has given the correct account of the Buddha's religion. His answer occurs in the final paragraphs of the *Abhidharmakośa* (1973 edition, pp.

1185–8). Let me first provide a translation of these paragraphs *in extensor* and then offer some brief observations on them:

> But how long will the true religion, in which these types of [pure and impure] characteristics are accurately discriminated, endure? The true religion of the Teacher is of two forms, namely, that which is embodied in scripture (*āgama*) and that which is embodied in technique (*adhigama*). Scripture in this context means the sermons of the Buddha, the books of discipline and the catechisms (*sūtra-vinaya-abhidharma*); technique means those things that conduce to enlightenment. These are the two aspects of the true religion. And the only preservers thereof are those who expound it and those who practice it, for expounders preserve the scriptures and practitioners preserve the technique. Therefore, know that as long as expounders and practitioners exist, so will the true religion. But it has been said that such people will be on hand for one millennium [after the Buddha]; others say that the technique will endure for a millennium, but the scriptures will endure for a greater length of time.

> Is the catechism expounded in the present treatise the same as the one that the Teacher set forth? For the most part I have expounded the catechism established in the teachings of the Vaibhāṣika school of Kaśmir…. Whatever I have misunderstood here is my own fault. For only Buddhas and their direct disciples are authoritative in teaching the true religion. Now that our Teacher is dead, the eyes of the world are closed, and now that the majority of those who had firsthand experience [of the truths he taught] have met their ends, his teaching, which is being transmitted by those who have not seen reality and have not gained freedom [from their passions and misconceptions] and are inept at reasoning, has gotten all mixed up…. So, those who desire salvation, seeing that the Buddha's teaching is gasping its last breaths … must not become distracted.

According to my understanding of this passage, Vasubandhu has done a very clever job of striking a balance between two potentially incompatible views. For on the one hand he has denied that the scriptures *as we now understand them* are fully authoritative; that is to say, we cannot place full confidence in the scriptural tradition anymore, because the scriptures require interpretation and hardly anyone still exists who is competent to provide the requisite interpretation. But, on the other hand, by placing the blame for the current nonauthority of scriptures on the imperfections of teachers like himself, Vasubandhu salvages the view that the Buddha himself was a source of knowledge. He was a source of truth to which we

now have imperfect access. Therefore, the purely religious value of the Buddha as an object of veneration and as a model of humanly attainable perfectibility is upheld by Vasubandhu. Moreover, he maintains this religious desideratum without also maintaining the encumberments and limitations of a commitment to a stagnating scripture as a standard of truth. When one recalls that for Vasubandhu, writing nearly a millennium after the Buddha's death, many passages of scripture would seem almost as outmoded and incomprehensible as they now seem to us, it must have been desirable not to be bound to scripture.[7] As we shall see, variants of Vasubandhu's approach to discarding a bondage to scripture without discarding his veneration for the Buddha can be found in several of the epistemological Buddhists. Similarly, many of the epistemologists followed his lead in dealing with the problem of how, given the fact that one cannot automatically place full confidence in any one interpretation of scripture, we are to test the worthiness of a teaching that purports to be Buddhist. Vasubandhu's answer to this problem is suggested in the ninth chapter of the *Abhidharmakośa*, where he repudiates some of the views put forth by the Vātsīputrīya school of Buddhism, who did, incidentally, claim to have scriptural authority for some of their apparently unorthodox views; these Vātsīputrīya teachings are to be rejected, says Vasubandhu, because they are not verified by our own direct experience, and because they cannot stand up in the light of reasoning that is ultimately grounded in our own experience. And thus, in the final analysis, Vasubandhu follows the principle that it is only experience and sound argumentation grounded in experience that can yield knowledge.

The next Buddhist epistemologist that I wish to examine is Diṅnāga, who is traditionally seen as the figurehead of the Nyāyānusārin Buddhist movement; as its name implies, this

movement put reliance on reasoning rather than on scripture and is traditionally contrasted with the Āgamānusārin (relying on scripture) schools. The Nyāyānusārin movement included adherents of both the Sautrāntika and the Yogācārin schools of thought. In Diṅnāga's most extensive treatise on logic and epistemology, the *Pramāṇasamiwcaya*, there are several passages that indicate his attitudes towards the question of the authoritativeness of scriptures in general and his attitudes towards Brahmanical and Buddhist scriptures in particular. For example, in the first chapter of that work we find an indication that Diṅnāga entertained a degree of suspicion towards scriptures in general. In the passage in question he is discussing the direct experience of reality that can be developed through mental discipline. That experience consists, says Diṅnāga, in observing things just as they are with an observation that is entirely free of preconceptions arising from the instructions of one's teachers and with an observation that is wholly disencumbered of preconceptions derived from scriptures (*āgama*).[8] The teachings of scriptures, whether they be the words of the Buddha or the words of the Vedic seers, flavor our experiences of the world around us and predigest the information that we acquire through our senses, and in so doing they form an obstacle to our experiencing things as they really are. The purpose of mental discipline, suggests Diṅnāga, is to enable us to surpass those barriers put in our way by those who have instructed us. What is particularly noteworthy about these comments is that they are applied to *all* scriptural authority, including, one supposes, the entire range of Buddhist teachings.

A second passage that indicates Diṅnāga's attitudes towards traditional teachings is to be found in the third chapter of his *Pramāṇasa-muccaya*. In this passage the topic under discussion is what characterizes a genuine assertion in the context of an argument with another party. An assertion in an argument can be entertained,

says Diṅnāga, if "the person advancing the argument himself believes it and it is not overthrown by anything that is known through sensation, inference or the testimony of a competent witness."[9] I would like to draw attention to two phrases in this simple passage. First, the question arises as to what exactly Diṅnāga intended by specifying that the person advancing an assertion should himself believe the assertion. And, second, the question arises as to what sort of person Diṅnāga had in mind when he spoke of a competent witness (*āpta*). Answers to both of these questions appear in Diṅnāga's own commentary to his work. First, in saying that the person advancing an assertion should himself believe it, Diṅnāga says that he means to specify that the person making the assertion should "accept the assertion independently of any treatise." A later commentator, Prajñākaragupta, quotes Diṅnāga's words and takes them to mean that a person in debate is not to be held accountable for any views propounded by anyone but himself; in other words, a person in debate need not defend a view simply because he belongs to a tradition that propounds that view, but neither can one cite as evidence for the truth of an assertion the fact that others have also believed it. "Hence," concludes Prajñākaragupta, "Diṅnāga states that treatises in and of themselves are of no use."[10] The commentator Jinendrabuddhi[11] also explains Diṅnāga's words along these lines, saying that Diṅnāga mistrusts treatises because their authors often propound doctrines that are themselves in need of proof and they often commit errors in reasoning, and hence nothing stated in a treatise can be accepted as true simply on the grounds that it appears in a treatise. But if Diṅnāga intended to rule out an appeal to authority as a legitimate justification for a belief, then we must ask what he meant by speaking of assertions' being overturned by what is known through competent witnesses. After all, the Brahmanical Nyāya authors had claimed that their scriptures were written by competent witnesses, namely, the Vedic Seers (*ṛṣi*). Does Diṅnāga

have some sort of seers in mind when he speaks of competent witnesses? The answer to this question becomes clear when we study the example he offers of an assertion that is obviously false because it is overthrown by the testimony of competent witnesses. The assertion is: "The large bright object in the night sky is not the moon."[12] This assertion is false, of course, because we all know that the large bright object in the night sky is in fact the moon. But how do we *know* that it is the moon? We can neither experience nor infer the "moon-hood" of the bright object in the night sky; rather, its "moonhood" consists solely in the fact that by manmade convention it is proper to apply the word "moon" to the big, round disc that lights up the nocturnal sky. And so if I say, "The large bright object in the night sky is not the moon," I am not really making an assertion at all; rather, I am simply misusing words established by human convention. But how do we know this manmade convention? We learn it, says Diṅnāga, from those who know the language. And so it turns out that these "competent witnesses" to whom Diṅnāga refers are simply the linguistic community at large from whom we learn the proper usage of words, phrases and constructions.

A third passage in the *Pramāṇasamuccaya* that reveals Diṅnāga's attitudes towards scripture in general is to be found in the fifth chapter of that work.[13] The issue here is Diṅnāga's contention that appealing to scripture in order to justify a belief is legitimate only if one has first established the general rule that every statement in that body of scripture is known to be true. In this case, the appeal to scripture is really a form of inference in which the minor premise, "Statement A is in scripture B," combined with the major premise, "Every statement in scripture B is known to be true," yields the conclusion, "Statement A is known to be true." Proving that every statement in a given body of scriptures is known to be true may, of course, turn out to be more difficult than showing that a single

statement is true by some other means. But Diṅnāga does not rule out the possibility that some such body of scriptures may exist, every statement of which can be known to be true. How might one go about justifying the belief that a given body of scriptures contains only statements that are known to be true? This belief, says Diṅnāga, is reasonably certain in case one investigates the body of scriptures in question and fails to find statements that are not known to be true. The procedure is exactly parallel to the one we use in determining that all men are mortal. If we examine a large number of men and fail to find a single immortal among them, then we can be relatively certain that every man—including, of course, men not among the sample that we observed directly—is mortal.

So much, then, for the general test that any body of scriptures must pass in order to be considered reliable. The next question is whether Diṅnāga believes that any collection of scriptures manages to pass that test. As interesting as this question may be, we get no unambiguous answer to it in what Diṅnāga himself writes. He does suggest that the Vedas fail to pass the test, for they contain statements that cannot be either verified or falsified and therefore cannot be known to be true.[14] But what of the Buddhist sūtras? They too must surely be admitted to contain statements that cannot be either verified or falsified, for the Buddhist scriptures deal with many of the very same topics as the Brahmanical scriptures, e.g., karma, rebirth, transcendental realms and the like. Nowhere to my knowledge does Diṅnāga claim that these Buddhist *āgamas* pass the test of containing only statements that are known to be true. He does, however, make a claim for the Buddha that is very similar to Gotama's claim for the Vedic seers. The Buddha, he says, knew what was beneficial for man, and in his compassion for others he explained to them what they would not otherwise know about securing their own wellbeing. These qualities serve to make the

Buddha a trustworthy expert whose words are safe to heed. Judging from the opening paragraph in Diṅnāga's *Pramāṇasamuecaya*,[15] it appears to be his view that the Buddha is not simply one among many trustworthy teachers. What distinguishes the Buddha from other religious teachers and disciples, says Diṅnāga, is not the Buddha's correct insight, for many non-Buddhists attain that. Nor is it the Buddha's good intentions, for again he has no monopoly on the wish to serve others. Rather, what distinguishes the Buddha in Diṅnāga's eyes is the unique combination of complete wisdom and altruism that make him alone a genuine source of knowledge and a savior of men. The obviously devotional tone of the opening passage of the *Pramāṇasamtwcaya* seems to be at odds with Diṅnāga's mistrust of teachers in general, which he makes so clear throughout the remainder of that same work. This tension between Diṅnāga's devotion to the Buddha as a purveyor of truth and his skepticism towards scriptures and the traditional interpretation of scripture is, so far as I am aware, never explicitly resolved in Diṅnāga's writings. I think it possible, however, that his solution might be similar to Vasubandhu's, which it will be remembered consisted in saying that the Buddha was a perfect source of truth of which we now have only an imperfect understanding. In this view the Buddha is fully worthy of worship as an embodiment of the aspirations of every seeker of wisdom, but the Buddha's words as they have come down to us in scripture can be accepted only insofar as they are supported by our own experiences and by sound reasoning.

Although Diṅnāga's exact stance on the authority of scripture is difficult to ascertain precisely and is a matter on which we can now do little more than offer conjectures, it is less difficult to ascertain the attitudes towards scriptures held by Diṅnāga's seventh-century interpreter, Dharmakīrti. It is also relatively easy to assess the importance that Dharmakīrti places on the Buddha in his overall

philosophical system. For, in contrast to the fact that Diṅnāga wrote one single benedictory stanza proclaiming the authority of the Buddha, Dharmakīrti devoted two hundred eighty-seven stanzas to this topic, dedicating just under twenty percent of the bulk of his *Pramāṇavārttika* to defending his view that the Buddha is unique among teachers as a source of knowledge.[16] Dharmakīrti's arguments are invariably complex, and his presentation tends not to be very systematic, and so I must say at the outset that there is always a risk in trying to summarize his views of oversimplifying his lines of approach by overlooking important subtleties. With that disclaimer, I shall attempt to recapitulate Dharmakīrti's central position on the authority of Buddhist scriptures. First of all it should be pointed out that Dharmakīrti agrees in principle with philosophers before him who say that we resort to scriptures for guidance when the topic about which we want to know is beyond the range of empirical investigation and beyond the range of empirically grounded inference. In his *Nyāyabindu* (1955 edition, p. 226), for example, he says: "An argument that is grounded in scripture is employed owing to the fact that its subject matter is some unobservable thing."[17] Unfortunately, however, different scriptural traditions give conflicting information about the nature of ultrasensible realities, and this makes it possible for two people, each following a different set of scriptures, to put forward incompatible positions, each of which is warranted by his own scriptures. Obviously, says Dharmakīrti (1955, p. 227), this can occur only "because the founders of systems of thought erroneously attribute to objects properties that they do not in fact have." It is interesting to note here that Dharmakīrti's commentators disagreed among themselves on how to interpret this remark. Vinītadeva[18] (eighth century), for example, argues that *all* founders of systems of thought in which ultrasensible matters are discussed are subject to error; so according to Vinītadeva it was Dharmakīrti's intention to say that

even the authors of Buddhist scriptures can go astray when they wax transcendental. Durveka Miśra[19] (eleventh century), on the other hand, argues that what Dharmakīrti intended to say was that only the founders of non-Buddhist systems of thought are subject to error, because only they are known to have made false statements in matters that can be checked against empirical evidence; if the non-Buddhists are wrong in empirical matters, then they are likely to be wrong in transempirical matters too, and conversely since the Buddha's statements are correct on all empirical matters, we can trust him even in those areas in which we cannot verify his statements by some independent means.

Which of these conflicting accounts of Dharmakīrti's intentions is more accurate? To get some insight into this we must examine several discussions in his *Pramāṇavārttika*. In the first chapter of that work[20] he begins with the observation that any body of scriptures is just a collection of statements. Therefore, in determining what if anything scriptures make known, we must first examine what it is that statements in general make known. Statements, says Dharmakārti, give rise to certainty of only one thing, namely, what the speaker of those statements wanted his audience to believe. Given, however, that people are often mistaken in the information that they pass on to others, and given that people often deliberately deceive their listeners by transmitting false or only partially true information, it is impossible to determine from a statement alone whether its speaker both knew and intended to tell the truth. Therefore, it is by no means self-evident that a body of scriptures contains only truthful statements; for the authors of scriptures may have been mistaken or deceitful. Therefore, our knowledge of the truth of scripture must be derived from some other knowledge. Dharmakīrti offers two criteria by which we can judge the merits of a belief expressed in a statement. The first is the general criterion that

he proposes for any belief whether derived from hearsay or from some other source of belief, namely, that action in conformity with the belief must yield predicted results. All action is preceded by a wish for specified results, and all action is directed by a set of beliefs. If an action has results other than those desired in initiating the action, then some of the beliefs directing the action were false. Any belief that is not proven false by this pragmatic test may tentatively be considered true. Now this criterion works well enough for beliefs that govern actions having immediate consequences. But scriptures tend to advise courses of action the consequences of which are not to be reaped until far in the future, often beyond the end of the present life. By the time we are in a position to know whether following a particular set of scriptures leads to the promised rewards, or whether it leads instead to several inconvenient eons in hell or to an eternity of mindlessness, it will be too late. All we can know from where we sit now is that the scriptures followed by one sect conflict with the scriptures followed by another sect, and hence it cannot be that both bodies of scripture are reliable. But how can we decide which to accept and which to reject? In answering this question, Dharmakīrti gives us a second criterion of credibility and in giving it he employs exactly the line of reasoning used by many of the Brahmanical thinkers to justify their scriptures. A body of scriptures, says Dharmakīrti, is only as trustworthy as the person who first speaks them. Buddhist scriptures are credible only if the Buddha himself was credible. And the Buddha was credible only if he was himself in full possession of the truth and was furthermore immune from all temptation to deceive anyone. So clearly the two principal questions that Dharmakīrti must address are: (1) how do we know that the Buddha was in possession of the truth, and (2) how do we know that the Buddha did not lie to us? In dealing with the first of these questions, Dharmakīrti falls into the familiar trap of circularity. We can be certain that the Buddha was in full possession of the

truth, says Dharmakīrti, because it was the Buddha who taught us the four noble truths and the eightfold path to salvation. In other words, we know that the Buddha is trustworthy because it was he who taught us all the things that we Buddhists believe. The vicious circularity of Dharmakīrti's argument is disguised somewhat by the fact that it takes him some two hundred couplets to make the circle, but it is undeniable that he does eventually end up in a logical loop on this first question. But what about the second of the above questions, which has to do with the Buddha's personal integrity? Dharmakīrti touches upon this question in an interesting imaginary dialogue with an antireligious Cārvāka philosopher.[21] The Cārvāka is portrayed as presenting the following argument: No one speaks unless he has a desire to speak. Whoever desires to speak has a desire. But the Buddhists claim that desire is a fault that arises only in one who is irrational, and that whoever is irrational is not trustworthy. Therefore, the Buddhists must admit that no one who speaks is trustworthy. But the Buddha spoke. Therefore his followers must admit that the Buddha was irrational and untrustworthy. Dharmakārti answers this argument by denying that the Buddhists claim that *all* desire is irrational. The desire to help others, for example, is not considered by Buddhists to be an irrational desire. Given that one's motivation in speaking may be a desire to help others, the fact of speaking does not in itself prove that the speaker is untrustworthy. Nor is it possible to determine from the specific contents of any utterance whether the speaker of the utterance was sincere in speaking it. In short, there is no way that we can judge a man's integrity simply on the basis of what he says, for a scoundrel and a saint may utter exactly the same sentences. Therefore, the judgment of the Buddha's integrity must be founded upon evidence independent of what his doctrines were. Dharmakārti does attempt to establish the Buddha's integrity,[22] resting his case upon the contention that the Buddha was altruistic. We know that the Buddha

was altruistic, says Dharmakārti, because we know that he practiced altruistic exercises and meditations that form the backbone of Buddhist religious practice through countless rebirths. These practices cannot fail, because of the inevitability of the fruition of karma. But establishing this claim leads Dharmakīrti in turn to having to provide arguments in defence of rebirth and the theory of karma. Obviously the full complexity of Dharmakirti's argument is beyond the scope of the present discussion, but I do hope to have given enough of an outline to show how he proceeds. There are two observations that I wish to make about this procedure. First, as I have already said, it is logically circular, for Dharmakīrti begins by trying to show that Buddhist doctrine is justifiable because it was taught by a trustworthy authority. But in showing that the Buddha was trustworthy, Dharmakīrti ends up appealing to information about the Buddha's career through several rebirths. But the only source of information for the Buddha's career is the very body of scriptures the authority of which Dharmakīrti is trying to defend. The second observation that I wish to make about Dharmakirti's procedure is that in what is ostensibly a work on the principles of logic and epistemology, Dharmakīrti ends up offering an elaborately argued apology of the central core of Buddhist doctrine, namely, that set of doctrines accepted by nearly all schools of Buddhism and proclaimed in virtually all Buddhist *āgamas*, whether Śravakayāna, Bodhisattvayāna or Tantrayāna in orientation. It was this apologetic quality of Dharmakārti's work, along with his attempts to justify the teachings of Buddhist scripture without explicitly citing scripture as his authority, that provided the model for many of the subsequent generations of Buddhist intellectuals.

The post-Dharmakārtian tendency to deal with questions of logic and epistemology merely as components within a much larger systematic apology of Buddhist dogma is best exemplified by the

Tattvasaṅgraham of Śāntarakṣita with its commentary by his disciple Kamalaśila. This work comprises twenty-six chapters, of which seven (sixteen through nineteen and twenty-four through twenty-six) deal with issues closely related to logic and epistemology; the remaining nineteen argue such medieval Buddhist dogmas as the beginninglessness of the universe, the nonexistence of God, the nonexistence of the individual self or soul, the doctrines of the destruction and recreation of the entire universe in each moment and the nonexistence of any enduring entities or essences, and the ultimate unreality of such metaphysical categories as substance, attribute, motion and universals.

In the final chapter of the *Tattvasaṅgraham*, Śāntarakṣita's central thesis is that the authority of Buddhist scriptures derives from the omniscience of the Buddha. But it is also argued that we are in a position to know of the Buddha's omniscience only because we can prove by some means other than scripture that all his teachings are true. It must be understood that this claim of omniscience is not like the claim by later Hindus such as Jayanta for the unlimited omniscience of God, creator of man and author of the Vedas by which man achieves salvation; that is, the Buddhists do not argue that the Buddha knew every hair on the head of every creature of the past, present and future. Rather, they argued that the Buddha was omniscient with respect to all matters relevant to the nature of salvation and the means of attaining it. As Śāntarakṣita says: "Trying to establish that anyone has knowledge of a multitude of individuals and all their particular features is as pointless as an enquiry into the teeth of a crow. But ... by establishing that one's own teacher knows only what is proper and improper, one establishes that the scriptures written by that teacher should be believed."[23] Śāntarakṣita is well aware of the difficulties of defending the claim that the Buddha is omniscient even in this limited sense, and he was also quite aware of

the fact that everyone who is attached to the dogmas of his own religion can claim that the founder of that religion was omniscient. Thus the Hindus, the Jains, and the Buddhists all claim that their scriptures had omniscient authors; the problem that faces any objective thinker is how to decide, when the putatively omniscient disagree, whom to believe. Is the Buddhist not simply being dogmatic when he claims omniscience for the Buddha but denies the omniscience of God or the Vedic seers or the Jina? Śāntarakṣita: "When most of the omniscient teachers give conflicting information and the warrant for asserting omniscience is the same in every case, why on earth should just one of them be singled out for respect? What evidence is there that the Buddha is omniscient but Kapila is not? Both are supposedly omniscient. So why do they disagree?"[24] Śāntarakṣita's approach to solving the problems that he anticipates is perhaps best captured in this famous passage:

> Those great teachers who are wholly convinced of the obvious rationality of their own teachings and of their own ability to explain them lose all fear. And they dare give voice to the lion's roar that silences bad philosophy, which is akin to the craziness of rutting elephants. They dare to say: "Clever people, O monks, should accept what I say after putting it to the test, just as they accept gold after testing it by melting it, scratching it and scraping it on a whetstone. They should not believe what I say out of deference to me."[25]

Kamalaśīla quotes this passage in his *Nyāyabindupūrvapakṣasaṅkṣipti* and adds the following comments of his own:

> There are three types of object: (1) that which can be experienced directly, (2) that which is presently beyond the range of the senses, and (3) that which is ultrasensible in principle. Among those types of objects, whatever the Buddha discusses that can be experienced directly should be tested by direct experience, as gold is tested by melting. Whatever the Buddha discusses that is presently beyond the range of the senses should be tested by inference, as gold is tested by scraping on a whetstone. Whatever the Buddha discusses that is ultrasensible should be tested for its internal consistency. For the trustworthy experts established the scriptures, which are free from such contaminations [as logical inconsistencies], as credible sources of knowledge, despite the fact that scriptures deal with ultrasensible things.[26]

It is clearly Śāntarakṣita's intention to show the Buddha's sincerity by indicating that he invited others to examine his teachings closely for possible errors. From this we are to feel assured that the Buddha was not trying to deceive his followers. But sincerity alone is no guarantee of truth. The truth of the Buddha's teachings must be established one doctrine at a time, and each doctrine must stand up under empirical and rational investigations, and furthermore there must be a logical coherence in the system of doctrines as a whole. And it was for this reason, claims Śāntarakṣita, that he set out in his *Tattvasaṅgraha* to establish the body of Buddhist dogma one doctrine at a time. Having done this to his own satisfaction, he could then proclaim:

> This is a statement for which there is good evidence, namely, that the omniscient lord who has acquired unique talents that distinguish him from the rest of mankind is none other than him whose faultless teaching, in which selflessness is the constantly repeated thesis, is established throughout the present work and is not overturned by any means of knowledge. That being the case, it turns out to be plausible that someone is omniscient, from which it follows that *human* teachings can result in an understanding of truth.[27]

To return now to the question with which I began—were the early Buddhist epistemologists champions of reason or champions of dogma—I have found, not surprisingly, that there is no simple answer. There is no escaping the need to examine each individual Buddhist philosopher on his own and to resist the convenience of characterizing the movement as a whole as an attempt to devise a nonsectarian science or as an attempt to replace an outmoded form of sectarian apologetics with a newer and more powerful form. To summarize the stances taken by the Buddhists that I have examined in this paper, we saw that Vasubandhu was concerned almost exclusively with apologetics and discussed epistemology only as an adjunct to his overall program of indoctrination. Diṅnāga dealt almost exclusively with questions of epistemology and showed little

explicit concern with Buddhist doctrines. For him epistemology did approach a nonsectarian discipline like grammar or medicine. In fact he may have been a little too nonsectarian for the tastes of those Buddhists who picked up his work and expanded on it. For in Dharmakīrti we find a heavy intrusion of Buddhist doctrine in an ostensibly epistemological framework. It is largely for this reason, I suggest, that Dharmakīrti's works were regarded by the later Buddhist tradition as more advanced and more complete than Diṅnāga's; Dharmakīrti's works more explicitly advanced the spread of the dharma than did the works of his predecessor. And in Śāntarakṣita we seem to have come full circle to a situation in which the overriding concern is with doctrine—specifically, the Buddhist doctrine that everything necessary for salvation is within the reach of human beings without a need for divine help or divinely inspired knowledge—rather than with a genuinely disinterested philosophical investigation into the limits of knowledge. And so those Tibetans and modern scholars who saw epistemology as a strictly secular science are at least partially correct, in that what they say is true for the most part of Diṅnāga. But those who saw epistemology as a fundamental part of the overall religious program are also correct, in that what they say is true for much of Dharmakīrti and nearly all of Śāntarakṣita.

It should not be imagined that what I have investigated here gives a complete picture of the course of Buddhist epistemology. Alongside the apologetic works we do find evidence of a gradual development of logical theory that is relatively secular in spirit, relatively free of any sectarian commitment. One observes that refinements in that theory were achieved by the interplay of Buddhist, Jaina, and Brahmanical thinkers. It is not entirely unusual to find Jaina authors commenting on works by Buddhist authors and vice versa. One also finds evidence that, occasionally at least,

sectarian rivalries could be overlooked in favor of academic excellence; Durveka Miśra, for example, who was among the most esteemed professors of logic at the great Buddhist university at Vikrama-sila, was a Brahman who never converted to Buddhism and yet taught a generation of prominent Buddhist logicians and wrote instructive commentaries on some of Dharmakīrti's key works on logical theory. But while the development of a purely theoretical and nonsectarian discipline of logic was not entirely neglected, it was clearly overshadowed by the mass of literature produced by post-Dharmakīrtian Buddhist intellectuals in their efforts to provide a principled defense of key Buddhist dogmas, such as the reliability and worshipability of the Buddha, the falsity of Brahmanical scripture, the nonexistence of a soul, the impermanence of all things, the nonexistence of God and so forth. In classical India there was no dearth of very fine philosophical thinking conducted in strict accordance with the canons of impartial investigation, but, as in most places in most ages of history, the quiet voice of reason sometimes had a difficult time being heard above the general background noise of doctrinal enthusiasm.

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¹ Schopen has shown in at least two articles 1975 and 1982 the important role played by one cycle of Mahāyāna sūtras as cult objects, i.e., as collections of formulas which, if recited or copied or even if put into reliquaries and circumambulated, are supposed to generate incalculable quantities of religious merit. I do not entertain the slightest doubt that this putative capacity of sacred texts to generate religious merit is one of the principal uses to which these texts are put in Buddhist religious practice; but what I do wonder is whether they are believed to serve some further purpose as well, such as the transmission of ordinarily unknowable truths and so forth.

² This account of Sa skya paṇḍita's motives in writing his *Tshad ma rigs pa'i gter* is given in an English introduction to Kun mkhyen Go rams pa Bsod nams Seng ge's (1429–1489) commentary thereto (1975 edition). Stcherbatsky, on the other hand, says (1932:46) that Sa skya paṇḍita "maintained that logic is an utterly profane science, containing nothing Buddhistic at all, just as medicine and mathematics are. The celebrated historian Bu-ston Rin-poche shares in the same opinion." Stcherbatsky goes on to say that, in contrast, the mainstream of the Dge lugs pa school of Tibetan Buddhism "acknowledges in Dharmakirti's logic a sure foundation of Buddhism as a religion." A similar observation is made by van der Kuijp (1979), who says that Sa skya paṇḍita did not commit himself on the role of logic in Buddhism but that there were scholars of both the Sa skya pa order and the Dge lugs pa order who sought "to establish the relationship between logic and the three spiritual courses" (7) and suggested "that logic leads to liberation" (23). Thus, even if the account I have given here of Sa skya paṇḍita's views should turn out not to be strictly accurate for him, it is nevertheless accurate for many prominent medieval Tibetan scholars such as Rgyal tshab dar ma rin chen (1364–1432), Bo dong pan chen Phyogs las rnam rgyal (1376–1451), Sa skya mchog ldan (1428–1507) and Bsod nams grags pa (1478–1554).

³ Jackson (1982) argues convincingly that Sa skya paṇḍita's zeal to establish the views of his school as the true Buddhism and to discredit the theories and practices of his doctrinal rivals led the great reformer to a somewhat disingenuous retelling of history, introducing into his telling of the Bsam yas debate between Kamalaśila and the Hva shang Mahāyāna a "polemical anachronism, an attempt to discredit the paṇḍita's contemporary opponents by associating them with an historical person of established notoriety" (96). A reading of the history of Buddhism in Tibet shows that a willingness to sacrifice accuracy in favor of orthodoxy was not just an idiosyncracy of Sa skya paṇḍita's; on the contrary, it was a general tendency among Tibetans to be very concerned with questions of orthodoxy.

⁴ A good illustration of this point can be found in various interpretations that have been given to the *Ālambanaparikṣā*, usually attributed to Diṅnāga. The majority of scholars have held a view like the one expressed by Tola and Dragonetti (1982:105): "The *Ālambanaparikṣā* is one of the most important texts of Dignāga. This work and Vasubandhu's *Viṃśatikā* and *Triṃśikā* are basic fundamental texts of the Yogācāra school of Buddhism; in them we find expounded the principal philosophical tenets of the school, centered around the thesis of the sole existence of consciousness, the thesis of 'being as consciousness.'" Wayman (1979:70) agrees that the *Ālambanaparikṣā* is a Yogācāra work by Diṅnāga but emphatically

denies that the text argues that only consciousness exists: "The vulgar interpretation—that this denies external objects—is nonsense." Warder (1980) agrees that it is nonsense to interpret the *Ālambanaparikṣā* as denying external objects, and he takes this as a sign that Diṅnāga was not a Yogācārin at all but rather a Sautrānika. Others—whose views have been expressed to me orally but who have not yet put them in print so far as I know—argue against Wayman that the *Ālambanaparikṣā does* deny external objects, agree with Warder that Diṅnāga was a Sautrānika and conclude against tradition that Diṅnāga did not in fact write the *Ālambanaparikṣā*. The stance that one takes on whether Diṅnāga was a Yogācārin who denied external objects, a Yogācārin who did not deny external objects or a Sautrānika can play a very important role in determining how one interprets some passages in his *Pramāṇasamuccaya*. A review of how various scholars have interpreted the fifth chapter of that text in the light of their conclusions regarding Diṅnāga's sectarian affiliations appears in Hayes (1981:1–27).

[5] Frauwallner (1961) attributes to this Vasubandhu authorship of the Vaibhāṣika text-book *Abhidharmakośa*, the Yogācārin *Viṁśatikā* and *Triṁśikā Vijñaptimātratāsiddhi*, and the two logical texts *Vādavidhi* and *Vādavidhāna*. The real founder of the epistemological school of Buddhism, Diṅnāga (ca. 480-ca. 540), based many of his writings on these works of Vasubandhu; for example, he wrote a commentary to the *Abhidharmakośa*, summarized Vasubandhu's Yogācārin works in his *Ālambanaparikṣā*, and took Vasubandhu's logical texts as the point of departure for his earliest logical writings.

[6] See, for example, *Abhidharmakośa* (1973 edition, p. 1189): "kiṁ khalv ato'nyatra mokṣo nāsti? Nāsti. Kiṁ kāraṇam? vitathātmadṛṣṭiniviṣṭatvāt." Is there no salvation else-where (than in Buddhism)? There is not. Why? Because (other teachings) are dedicated to the mistaken belief in an individual self.

[7] The Mahāyānists, whom Vasubandhu eventually endorsed, gained their freedom from outdated scriptures by "finding" new ones to update and supplement the older ones. This practical solution was adopted in Tibet, especially by the Rnying ma pa sect, which places great confidence in *gter ma*, that is, "discovered treasures" consisting of texts supposedly hidden in ancient times to be found when the time for the new teachings became ripe. An account of this school is available in Li (1948), Dargyay (1977), and Hoffman.

[8] *Pramāṇasamuccaya* 1.6cd reads: "yogināṁ gurunirdeśāvyatibhinnārthamātradṛk. yogināṁ apy āgamavikalpāvyavakirṇam arthamātradarśanam pratyakṣam." It is quoted in Hattori (1968:94, notes 1.48, 1.49).

[9] *Pramāṇasamuccaya* 3.2 reads: "svarūpeṇaiva nirdeśyaḥ svayam iṣṭonirākṛtaḥ / pratyakṣārthānumānāptaprasiddhena svadharmiṇi." It is quoted in Dharmakīrti (1953 edition, p. 545 and p. 549).

[10] Dharmakīrti (1953 edition, p. 494–95): "kiṁ śāstramātram eva prayojanam uktam ācāryeṇa."

[11] Jinendrabuddhi (1957 edition, folio 158a, line 7).

[12] The actual proposition reads "acandraḥ śaśi." Literally: the rabbit-possessor is non-moon. Here the term *śaśin* is a definite description, referring to the fact that the dark patches on the full moon have the shape of a rabbit. In my discussion I have substituted a different definite description of the moon, one that is more readily understandable to modern non-Indians and serves the same philosophical purpose. The passage in question occurs in Diṅnāga edition), folio 125a, line 5. Discussions appear in Jinendrabuddhi (1957 edition, folio 163a) and in Śāntarakṣita (1968 edition, p, 503).

[13] Diṅnāga (1982 edition, p. 147).

[14] *Pramāṇasamuccayavṛtti* at 3.5. See Diṅnāga (1957b edition, folio 111a).

[15] See Hattori (1968:23).

[16] See Nagatomi (1959).

[17] The Sanskrit reads: "tasmād avastudarśanabalapravṛttam āgamāśrayam anumānam."

[18] Dharmakīrti (1971 edition, p. 63). Under "śāstrakārāṇām artheṣu bhrāntyā svabhāvaviparītopasaṃhārasambhavād," Vinītadeva says: "sarvaiś ca śāstrakārais taddarśanānutpannā api kecana arthāḥ svabhāvaviparyayeṇa abhihitā bhavanti."

[19] Dharmakīrti (1955 edition, p. 227): "śāstrakāra iti tīrthikaśāstrapranetāra iti draṣṭavyam, tadvacanasyaiva pramāṇabādhitatvena teṣām eva viparyastatvāt."

[20] I follow the order of chapters as presented in Dharmakīrti (1968): (1) *Pramāṇasiddhi*, (2) *Pratyakṣa*, (3) *Svārthānumāna*, and (4) *Parārthānumāna*. For discussions of the problem of the order of the chapters in *Pramāṇavārttika*, see Stcherbatsky (1932:38) or van der Kuijp (1979:12).

[21] This discussion occurs in the third chapter of *Pramāṇavārttika* in Dharmakārti's autocommentary. See Dharmakārti (1960 edition, p. 9).

[22] Dharmakīrti (1968 edition, pp. 20ff.).

[23] Śāntarakṣita (1968 edition, p. 992, verses 3137 and 3139: samastāvayavavyaktivista-rajñānasādhanam / kākadantaparikṣāvat kriyamāṇam anarthakam // svadharmādharma-mātrajñasādhanapratiṣedhayoḥ / tatpraṇitāgamagrāhyaheyatve hi prasiddhyataḥ //

[24] Śāntarakṣita (1968 edition, p. 995, verses 3147–48): sarvajñeṣu ca bhūyassu viruddhār-thopadeśiṣu / tulyahetuṣu sarveṣu ko nāmaiko'vadhāryatām // sugato yadi sarvajñaḥ kapilo neti kā pramā / athobhāv a pi sarvajñau matabhedas tayoḥ katham //

[25] Śāntarakṣita (1968 edition, pp. 1114–15, vv. 3585–87: yaiḥ punaḥ svoktiṣu spaṣṭam Yuktārthatvaṃ viniścitam / tatpratyāyanasāmarthyam āmanaś ca mahātmabhiḥ // kutīr-thyamattamātaṅgamadaglānividhāyinam / evam asyākhilatrāsāḥ smṃhanādaṃ nadanti te //

tāpāc chedāc ca nikaṣāt suvarṇam iva paṇḍitaiḥ / parikṣya bhikṣavo grāhyam madvaco na tu gauravāt //

26 Kamalaśīla (1957 edition, folio 114b, line 4). This passage is translated by Stcherbatsky (1932:77). I find little justification for his translation of the final sentence of the passage, but must admit that my own translation is not entirely satisfactory either. The text reads: "de ltar yongs su dag pa'i lung la ni yul lkog tu gyur kyang, rtog pa dang ldan pa tshad ma yin par yid ches pa rnams 'jug pa'i phyir ro." Stcherbatsky translates: "Thus even in those cases when we have a perfectly reliable sacred (Buddhist) text dealing with a transcendental subject of discourse, we will proceed (not by believing the text), but by believing (in reason as the only) source of theoretical knowledge." His translation violates the grammar of the Tibetan and inserts words with no apparent justification; his rendering of the passage in question into Sanskrit is no more reliable than his English rendering.

27 Śāntarakṣita (1968 edition, pp. 1129–30, vv. 3640 and 3643–34): svabhyastadharma-nairātmyā yasyeyaṃ deśanā'malā / sādhitā sarvaśāstreṇa sarvamānair abādhitā // labdhā-sādhāraṇopāyo'śeṣapuṃsāṃ vilakṣaṇah / sa ekaḥ sarvavin nātha ity etat sapramāṇakam // itthaṃ yadā ca sarvajñaḥ kaścid evopapadyate / dharmādyadhigame hetuḥ pauruṣeyaṃ tadā vacaḥ //

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REBIRTH

I

Traditional Western conceptions of immortality characteristically presume that we come into existence at a particular time (birth or conception), live out our earthly span and then die. According to some, our death may then be followed by a deathless *post-mortem* existence. In other words, it is assumed that (i) we are born only once and die only once; and (ii) that – at least on some accounts – we are future-sempiternal creatures. The Western secular tradition affirms at least (i); the Western religious tradition – Christianity, Judaism, Islam – generally affirms both (i) and (ii). The Indian tradition, however, typically denies both (i) and (ii). That is, it maintains both that we all have pre-existed beginninglessly, and that we have lived many times before and must live many times again in this world. The Indian picture, then, is that we have died and been reborn innumerable times previous to this life and (failing our undertaking some spiritual discipline) we will be reborn many times in the future. This is sometimes called the Indian belief in reincarnation. The difficulty with this usage is that the term 'reincarnation' suggests a belief in an immortal soul that transmigrates or reincarnates. However Buddhism, while affirming rebirth, specifically denies the existence of an eternal soul, Thus the term 'rebirth' is preferable for referring to the generally espoused Indian doctrine.

The fact that the doctrine of rebirth is fundamental to Indian religious thought (including Hinduism, Buddhism, Jainism and

Sikhism) is of course widely known in the West.[1] However, it is symptomatic of the ethnocentrism of contemporary analytic philosophy of religion that the vast majority of philosophers in this tradition continue to ignore Indian religious concepts and prefer to concentrate almost exclusively on Judaeo-Christian religious notions.[2] A typical example of this parochial trend is provided by Peter Geach who prefaces what is, in certain respects, a quite interesting essay on reincarnation with the following demurral:

... I shall not try to discuss any Hindu or Buddhist views. This may strike some people as frivolous, in the way that it would be frivolous for somebody writing philosophical theology to discuss the writings of Judge Rutherford rather than of Thomas Aquinas. No doubt Hindu and Buddhist writings about reincarnation are of more inherent interest than *The Search for Bridey Murphy*; but I am wholly incompetent to discuss them; and even if I were myself able to talk about *atman* or *karma*, these are not notions which many of my readers could readily deploy.[1]

The argument is instructive: Geach himself is innocent of Indian views of rebirth; so too are most of his readers; therefore it is better for everyone to remain in this blessed state of innocence. Of course, an unkind critic might suggest that this cognitive innocence is just plain ignorance. Couple this suggestion with the common Indian belief that it is ignorance [*avidyā*) which is the cause of bondage to suffering and we have the beginnings of a case for treating Indian views about rebirth less cavalierly. Anyway, in this paper I propose to take the Indian doctrine of rebirth to be a serious metaphysical hypothesis and to consider critically the question of the philosophical credibility of such a doctrine.

II

Briefly there are two sorts of arguments that can be offered for the rebirth theory: viz. philosophical arguments and empirical arguments. The first category includes metaphysical, ethical and theological arguments for the thesis; the second category presents the thesis as an explanatory hypothesis that satisfactorily accounts for various empirical phenomena. In practice the two types of argument can be rather difficult to separate. However, it is clear that for the thesis to serve as an adequate explanatory hypothesis it must at least be metaphysically coherent. Hence it is appropriate to begin by considering some metaphysical arguments for the truth of the rebirth thesis.

As I have already indicated, the Indian doctrine of rebirth includes both a belief in post-existence (I will be born again after my death) and a belief in pre-existence (my present life was preceded by a previous existence and so on). These two beliefs are in fact logically distinct. Nevertheless, they are mutually supportive. Hence if I pre-existed in a previous life, then I have survived death once and it is not unreasonable to suppose I might survive death again. Similarly, if I am presently post-existing relative to a previous life, then my previous life might also have involved post-existence relative to a yet earlier life – and so on. Finally, if I will post-exist in a succeeding life, then it is not unreasonable to suppose that I will die in that life and be reborn again. Thus pre-existence and post-existence together make probable (but do not entail) the Indian doctrine of a beginningless plurality of lives. Moreover, any metaphysical evidence for the truth of post-existence would seem also to favour the truth of pre-existence, and vice versa.[1] (Once again, however, it must be admitted that there seems no straightforward entailment relation involved here.)

In any case, the doctrine of pre-existence is certainly part of the Indian view of rebirth and so it is important to examine arguments

for the truth of the doctrine. Now most Indian philosophers have believed (as most Indians still do) that we all have pre-existed beginninglessly. Indeed, since only the defunct Cārvāka school maintained otherwise, classical Indian philosophy displays a relative paucity of arguments for this thesis when compared with the extensive body of discussion it offers about the nature of what it is that has pre-existed.[2] Thus there are some empirical arguments adduced, like the Naiyāyika appeal to the inborn inclination of infants to suckle and their fears and joys.[3] These, however, may be uncompelling in the light of modern biological theory. There are also certain theological arguments related to the efficacy of the thesis in explaining away the problem of evil.[4] But these require for their plausibility prior commitment to a theistic point of view. More interesting philosophically are certain metaphysical arguments that purport to establish the pre-existence thesis. I want to examine critically two such attempts: one by the eighth century Indian Buddhist philosopher Santaraksita and one by an outstanding modern Western interpreter of Indian philosophy, Karl H. Potter.

Śāntarakṣita's argument (glossed by his pupil Kamalaśīla) appears in his remarkable polemical compendium, the *Tattvasaṅgraha (ślokas 1857–1964).*[5] The chapter in question is devoted to a refutation of the views of the materialist Lokāyatas. It is important to understand, however, that this argument for pre-existence is not an argument for the pre-existence of a soul, i.e. an enduring substantial entity underlying change. Indeed, as a Buddhist Śāntarakṣita is committed to the denial of any such entity. Rather he assumes a particular Buddhist account of a person as a series of causally efficient point-instants. According to some Buddhist philosophers this person-series includes both mental and physical events or states. Hence for them a person is a two-strand causal series comprising both a chain of physical events and a chain of mental events. The two chains are

related co-ordinately (*sādṛśya*) but not causally: a view similar to the theory of psycho-physical parallelism in Western philosophy.[1] However, Śāntarakṣita seems to favour an idealist account at various points, in which case the person is presumably to be identified with the chain of mental events. Either way, the argument is an argument for the pre-existence of the consciousness series.

The argument rests upon two principles. The first is the principle of universal causation, i.e. that every event has a cause. The second is a principle to the effect that not every mental event is totally caused by physical events. Or more exactly, that there are some mental events which have no physical events in their casual ancestry (allowing here for the possibility of indirect causation). Call this the 'mental cause principle'. (Note that this formulation of the mental cause principle is compatible with either a realist or an idealist ontology.) These two principles can then be used to generate the following argument. For consider the first member of the chain of cognitions. Or more precisely, consider the first mental state in the life of an individual that is not totally caused by physical states. It must have as at least its part-cause a mental state occurring before the birth (or conception) of the individual. Thus pre-existence is established. Moreover, since this argument can be repeated for any previous life, the beginninglessness of the causal series of cognitions is established. Finally, since there is a previous birth, it is also reasonable to assume a future birth. After all, the cognition at the moment of death in this life is presumably causally efficacious in precisely the same way that the last cognition of the previous life was.

There are various ways to try to block the regress this argument trades upon. One is to invoke the hypothesis of the existence of God. That is, we might argue that the first non-physically caused mental state in the life of an individual was caused by a divine mental state.

The individual is not, then, beginningless. Moreover, the existence of the consciousness series is thus dependent upon God's existence, i.e. He is the creator. However, the regress will apply in the case of God, for the chain of divine mental states is indeed beginningless (God is eternal).

As a Buddhist Śāntarakṣita is unwilling to admit the theistic hypothesis and elsewhere in his work he argues independently against the existence of God. However, even if the theistic hypothesis can be ruled out on other grounds, there remains another possibility. The theistic hypothesis presupposes the truth of a more general principle, viz. that the first non-physically caused mental state in the life of an individual could have been caused by a mental state of some other individual. But if we admit this principle, then we do not need to insist that it is God's mental states which cause the initial mental states of other individuals. Rather, any individual's mental states could cause another's initial mental state. Thus what the regress will now show is the beginninglessness of causally efficient mental states, not the beginninglessness of any particular chain of such states. That is, the existence of conscious beings (conceived of here as causal series) could well be beginningless without this necessitating that any particular conscious being is beginningless. To block this possibility Śāntarakṣita would have to deny the general principle that a person's initial mental state could be directly caused by the mental state of another. Now there seems no *logical* difficulty with such a possibility: telepathy is presumably a putative example of such a phenomenon and that seems at least a coherent hypothesis. Hence the principle will have to be rejected on empirical grounds. That is, it will be maintained that while such causal interactions may be logically possible, it is contingently the case that no such interactions take place in our world. The plausibility of this empirical claim will then be as strong as the case against the existence of the

relevant parapsychological phenomena. Assuming this to be still an open question, I leave the matter there.

Of course, this does not exhaust the range of escape routes from Śāntarakṣita's regress argument. As I have already indicated, the argument rests upon two principles: the principle of universal causation and the mental-cause principle. Hence the denial of one or both of these principles will disarm the argument. Now some would be willing to deny the first principle and maintain that certain events are uncaused. Data from quantum mechanics is sometimes used to support such a position. However, the correct interpretation of this data is highly controversial philosophically. At the very least, it is unclear that the instance of uncaused subatomic events (if they indeed occur) would in any way undermine the causal principle construed as a thesis about macroscopic events. If we then assume that mental events are macroscopic events, the regress argument is untouched.

Another way of denying the causal principle is to opt for contra-causal libertarianism and maintain that certain events are indeed uncaused; most importantly, free human actions. This move can then block the regress by maintaining that the first non-physically caused mental event in the life of an individual need not be mentally caused. Instead it could be uncaused, as are all free mental acts. Of course, libertarianism has its own problems. First, it owes us an account of how such uncaused events can be *actions* done under an agent's control. Secondly, if free acts are uncaused events then how can such events be rendered explicable without appealing to causal explanations? Now it may be that libertarianism is able to present a consistent story about these matters. However, I shall assume for the moment that the principle of universal causation is better entrenched than the libertarian view of acts that are uncaused events.

One final point about the principle of universal causation. I formulated the principle of universal causation as the principle that every event has a cause. But it might be objected that Śāntarakṣita's regress argument seems rather to require a principle to the effect that every event has a prior cause. And such a principle is surely false, for a cause and its effect might be simultaneous (as a train's motion is simultaneous with the motion of its carriages that it causes). Now it does seem reasonable to concede that sometimes causes and effects can be contemporaneous; but this admission need not touch Śāntarakṣita's argument. For either the first non-physically caused mental event of this life is caused by a prior mental event, or else it is caused by a contemporaneous mental event. On the first option, of course, we have the regress underway. On the second option, however, we are no better off. For what is the cause of the mental event that is the contemporaneous cause of the first non-physically caused mental event of this life? Given that it is not physically caused, then its cause must be either a prior mental event, or else another contemporaneous mental event. In the first case we have the infinite temporal regress underway; in the second case we can ask the same question once again about the cause of that contemporaneous cause. So either we have an infinite temporal regress, or (implausibly) we have an infinity of contemporaneous causes and effects at the beginning of the causal series of each person's mental events.

What about the mental-cause principle then? Materialism, of course, denies this principle; so too does epiphenomenalism. Acceptance of the principle apparently commits us either to idealism or to dualism (i.e. interactionist dualism or parallelism). The standard Indian objection to the strong materialist claim that identifies the mental and the physical is a familiar one, resting upon what Western philosophers sometimes parochially call 'Leibniz's Law'. That is, it is

maintained that mental states have properties not shared by physical states and hence cannot be identical with physical states. Unfortunately, the objection is inconclusive since it is usually subjective phenomenal properties that are appealed to and Leibniz's Law is notoriously unreliable in intentional contexts. In any case, the Indian materialists (the Cārvākas or Lokāyatas) generally conceded that consciousness possesses properties which seem peculiar to itself. But these properties, it was asserted, are supervenient upon physical states. Consciousness, then, is an emergent characteristic of the physical states formed by combinations of material elements. Just as, for example, the red colour of *pān* is an emergent property of the ingredients (betel, areca nut, lime), none of which is individually red coloured; so too consciousness is an emergent property of the unconscious material elements.

Putting aside for the moment the opaqueness of the whole notion of emergent properties, Śāntarakṣita has a twofold reply to the Lokāyata view. Firstly, he argues that the materialist claim that the mental is always causally dependent upon the physical is not conclusively established. This is because we cannot apply the customary method of agreement and difference to support the existence of such a universal causal law. Thus in the case of other people, we never have direct access to their mental states to establish the necessary positive and negative concomitance. In our own case, on the other hand, although we can observe the concomitance of some mental and bodily states, we obviously cannot do this for the *first* mental event of our present life. Hence there is no proof that the two sets of phenomena are causally related in the way the materialist claims. Secondly, it seems that there is in fact evidence to suggest that some mental states are not totally physically caused. In dreams or imaginings, for example, the mind can apparently work independently of external physical stimuli.

Perhaps, then, some mental states could even occur independently of *any* physical cause.

Now the whole question of the relation of the mental and the physical is, of course, a deep and tangled one; one I do not intend to pursue any further here. All I want to claim here and now is that if we concede Śāntarakṣita his mental-cause principle (as many philosophers would) and also his principle of universal causation (as again many philosophers would), then his argument is apparently sound – though, as was pointed out, he has to deny direct causal relations between minds. The argument shows, then, at least the possibility of pre-existence (and with it, rebirth). Indeed, depending upon the strength of one's commitments to the premises of the argument, it can surely make the notion of pre-existence (and rebirth) extremely plausible. This, I take it, should be a surprising conclusion to those Western philosophers who might be sympathetic to the principles that generate Śāntarakṣita's argument.

III

Karl Potter's argument is rather different from Śāntarakṣita's.[1] Whereas Śāntarakṣita's is an argument for the pre-existence of the consciousness series, Potter's is an argument for the beginningless pre-existence of the morally responsible agent. It involves no detailed account of the nature of such a beginningless agent and certainly does not involve any overt commitment to dualism or idealism. Nevertheless, there is a certain family resemblance between the two arguments at least insofar as both are infinite regress arguments.

Briefly the argument is as follows. Suppose we analyse 'A has the ability to φ' as roughly something like 'A is in a condition such that, given opportunity, if he tries to φ then he succeeds a certain

percentage of the time'.[1] Now consider a particular case: 'Smith has the ability to raise-his-arm-at-t_2' will thus be analysed as something like 'There is a condition C such that if at t_n Smith is in C and, given opportunity, tries to raise his arm, then he succeeds in raising his arm at t_{n+1} a certain percentage of the time; and Smith is in C at t_1'. But if Smith has the ability to raise his arm at t_2 then it must also be true that he has the ability to try to raise his arm at t_1. However, trying to raise his arm is itself another action and hence Smith's ability to perform this action is open to a parallel analysis to that given to 'Smith has the ability to raise-his-arm-at-t_2'. That is: 'There is a condition C' such that if at t_{n-1} Smith is in C' and, given opportunity, tries to try-at-t_n-to-raise-his-arm-at-t_{n+1}, then he succeeds in trying-at-t_n-to-raise-his-arm-at-t_{n+1} a certain percentage of the time; and Smith is in C' at t_0'.

Obviously we can now generate a regress. Moreover, given that Smith's responsibility for raising his arm requires that he has the ability to raise his arm, then his responsibility for trying to raise his arm requires that he has the ability to try to raise his arm. Thus if the ability to try to φ is a prerequisite for attributing responsibility to someone for φ-ing, the agent must be beginningless. Otherwise there is some action of the agent which he is unable to try to perform and yet his ability to perform it is a necessary condition of his being responsible for his performance of φ. That is, if the agent is not beginningless he cannot be responsible for any of his actions.

Note that the argument is for the thesis that the agent must have the ability to perform an infinite number of actions in order to perform any action at all. But the analysis does not require that an action must be preceded by another action; only that an action must be preceded by the agent's *ability* to perform another action. In

other words, true regress involved here is not the regress that the notion of basic actions is supposed to block. What the argument is supposed to show, then, is that an agent can never come into existence, but must have existed beginninglessly. For suppose that there was a first event in an agent's history. In that case that first event is not an action since there is no prior condition the agent was in (as required by the analysis of 'having the ability to act' assumed here). But then neither can any subsequent event be an action of that agent either, for no subsequent event could be preceded by the appropriate conditions. Thus the agent never acts, or has always had the ability to act. If the agent is acting now, he must be beginningless.

Naturally some will be disposed to regard this conclusion as a *reductio* of the presupposed analysis of ability or of the sort of account of responsibility that utilizes it. However, it does seem that a similar argument could be generated from any conditional analysis of ability. That is, any analysis that explicates ability in terms of a subjunctive conditional of some form.[1] Of course, the critic might also welcome this more general conclusion, in which case he presumably owes us an alternative and superior account of ability. Be that as it may, there does remain one possible attempt to avoid the conclusion of the regress argument while accepting the general sort of account of ability. The argument, it will be remembered, assumes that having the ability is causally relevant to an agent's performing an action. The regress then generated presupposes that the ability to perform the act involves the existence of a condition of the agent prior to the performance of the act. But this surely need not be the case. For given that the idea is that the appropriate condition is causally relevant, then (as we earlier remarked) a cause need not temporally precede its effect; it might be contemporaneous with its effect. Could, then, an ability to perform an action come into

existence contemporaneously with the performance of the action? And would this prevent the regress argument that implies the beginninglessness of the agent?

It seems that there is such an escape route, though how attractive it would be is unclear. Let's suppose there is an event E which is the first event in an agent's history. For that event to be an action performed by the agent there would also have to be another event E', the agent's ability to try to bring about E. (This will be an event insofar as, on the account of ability assumed here, it involves the occurrence of an appropriate condition of the agent.) And this in turn means that there must be a third event E″ (the agent's ability to try to try to bring about E) – and so on. But now suppose that we allow E, E', E″, etc., to be all contemporaneous. In this case we can then avoid the temporal regress to the beginninglessness of the agent. However, if we do this then we have to accept that the first action which the agent performed involved the simultaneous occurrence of an infinite number of causally implicated contemporaneous events. (Not all of these events, of course, are other actions.) Hence the regress that implies the beginninglessness of the agent can be evaded in this way, but at a cost. One consequence of this escape route is that the agent's performance of his first action also supposedly involves the simultaneous occurrence of an infinity of other contemporaneous events, all of which are causally implicated in the occurrence of that first action.[2] It is hard to see that this is much more plausible than the beginninglessness of the agent.

Anyway, rather than press the matter any further here let us look instead at exactly what the argument would establish if it were indeed sound. The thesis it purports to establish is the beginninglessness of an agent. By itself, however, this thesis entails no detailed theory about the number or nature of such agents.

Nevertheless an important point about Indian views of rebirth is brought out by the argument. For (as Potter points out) it is the active factors of personality that all Indian philosophers regard as that which has beginningless existence; i.e. our powers of choice and discrimination, our abilities. Hence I propose a minimal account of the beginningless agent by characterizing an agent as a locus of (basic) actions and abilities.[1] Such a definition seems required both philosophically and exegetically. Philosophically it is necessary to identify the agent with the locus of actions and abilities if we are to avoid the problem of how otherwise to connect an agent and his abilities on the one side with his actions on the other. Between an agent and his basic actions there is no gap to bridge. Exegetically the proposal accords well with the doctrine of karma, a doctrine crucially intertwined with the Indian belief in rebirth. This is the doctrine that our actions have causal consequences which determine our subsequent situations. Thus my present circumstances are the effect of my previous deeds, just as my future circumstances will be determined by my present actions. (The term 'karma' derives from the Sanskrit root *kṛ*, to act.)

Consider in this regard the following passage from the *Bṛhadāraṇyaka Upaniṣad* (iv. 4. 5):

According as one acts, according as one conducts himself, so does he become. The doer of good becomes good. The doer of evil becomes evil. One becomes virtuous by virtuous action, bad by bad action.

But people say: 'A person is made [not of acts, but] of desires only.' [In reply to this I say:] As is his desire, such is his resolve; as is his resolve, such the action he performs; what action [*karma*) he performs, [into that does he become changed].[2]

The first part of this quotation, of course, is a succinct statement of the doctrine of karma. However, at the same time it is highly suggestive for our purposes in that it apparently identifies the agent with his actions. Then, in reply to an objection, it broadens this

account to include the causal components of his actions, i.e. his desires and resolutions (or perhaps 'volitions' since the Sanskrit *kratuḥ* may be translated as 'will' as well as 'resolve'). This surely amounts to much the same as the suggestion that an agent is the locus of basic actions and abilities (insofar as these latter are causal components of his basic actions).

Now it might seem simpler here to drop the use of the term 'locus' and simply identify the agent with the set of his actions, or even just with the set of desires that cause the actions.[1] However, there are two objections to such a proposal: one philosophical and one exegetical. The philosophical objection is that it is unclear how we are to individuate agents on such an account. For it seems possible that there could be two exactly similar desire-sets characterizing two distinct agents. And yet on this account such agents would have to be identical. The exegetical objection is that such an account is too nominalistic to be an acceptable exposition of the general Indian view. Desires and actions are apparently properties of an agent, and many Indian philosophers wish to insist upon a distinction between properties and property-possessors.

My use of the term 'locus' was suggested by the Sanskrit philosophical terms *āśraya* and *adkiṣṭkāna*, both of which are often translated as 'locus'. Roughly speaking, in Indian philosophy an *āśraya* or *adhiṣṭhāna* is that which things reside 'in' or 'on' or 'at'. It is not necessarily conceived of as spatio-temporal; (it certainly is not so conceived in Nyāya-Vaiśeṣika, for example). However, spatio-temporal difference implies difference of loci. The locus of a property or object X is that in which X resides. Thus on realist accounts the relation of a property to its locus is the relation of a universal to the particular it characterizes, or the relation between a property and the substance it is 'in'.

Now in proposing an account of an agent as a locus of basic actions and abilities I have deliberately left open the question of what sort of an account is to be given of the relation between properties and their loci. Hence the minimal definition offered should be unexceptionable to almost all Indian philosophers. Where they differ is in what further account of properties and property-possessors they maintain. Hindu philosophers, for example, tend to favour some sort of realist or conceptualist account which understands the loci to be substances (material or immaterial). On the other hand, nominalist Buddhist philosophers, working with an event ontology, eliminate property-possessors in favour of bundles of properties or property-instances. However, these are further metaphysical questions which need not prevent all of these philosophers agreeing that an agent is a locus of basic actions and abilities.

But even if the exegetical problem is met by my account, what about the individuation problem? There certainly is a philosophical problem here. However, this is not a particular problem for the proposed account of an agent. It is just a special case of a general metaphysical problem about properties and property-possessors. If we understand loci to be substantial property-possessors then we have to be able to individuate substances. But if an agent is a substance, then how do we individuate substances as distinct from the properties they possess? On the other hand, if we reject substances as the Buddhists do, then there are no individuals to be identified as agents but only causally related patterns of events. Agents (like all 'entities') are analysed as processes, patterns of events. But then the problem is how to individuate such processes. Either way, there is no special problem about the individuation of agents. Whatever general metaphysical account is to be given of the relation of a property to its locus will be used to deal with the

individuation problem about agents. Similarly, whatever general account is given of identity preservation through change of properties will also be used to deal with the problem of what preserves identity of the agent through time and change (including rebirth). On these general metaphysical questions Indian philosophers (like their Western counterparts) take various positions so that it cannot be said that there is one general Indian account of these matters.

IV

The obvious objection at this point is that even if we can concede the metaphysical coherence of the notion of a beginningless agent conceived of as a locus of basic actions and abilities, yet such a concept of an agent is clearly not identical with the concept of a person. Hence pre-existence and rebirth so conceived do not really involve any sort of personal continuance. And this, of course, is true insofar as it goes. Indeed it is precisely what we would expect, given any knowledge of the Indian context of the doctrine of rebirth. Thus it is part of the Indian view that we can be reborn not just as humans, but as gods, demons, animals and even plants. It is hard to see that any account of *personal* identity could embrace such successive rebirths. Moreover, the Indian religio-philosophical tradition is deeply opposed to a concern with what most Westerners would consider ordinary human personality, regarding such a concern as a source of bondage to suffering. The eschatologies of Indian religions generally present a picture of final release wherein the agent so blessed is a very different sort of being from our ordinary conception of a person. And this in turn is one instance of the radically different conception of the nature and value of the individual person in Indian thought as compared with that familiar to us from, for example, the Judaeo–Christian tradition.

However, these remarks just seem to invite further objections. At least three questions naturally come to mind. Firstly, if there is no sense of strong personal identity across lives, then surely the theory is entirely void of any genuine personal significance? Secondly, if my rebirth is not the same person as me, then why should I concern myself with his fate? Thirdly, if he is not the same person as me, then how can he justly incur the karmic consequences of *my* actions (as the doctrine of karma maintains).[1]

The first problem, then, is whether the doctrine of rebirth is essentially vacuous in personal terms, even though it might be a metaphysical possibility. In this connection consider, for instance, the argument from the fact that we do not normally remember our putative previous lives. Now clearly the truth of this claim cannot in itself rule out the possibility of our pre-existence: I do not remember what I ate for lunch three weeks ago, but this does not entail that I did not have lunch then. Rather, the point seems to be that in the absence of memory the past lives would form only a disconnected series with no sense of personal continuity between them. The connections between lives would then be too weak to make the idea of rebirth of any real interest personally. In his *Discourse on Metaphysics* (section 34) Leibniz put the point thus:

Suppose that some individual could suddenly become King of China on condition, however, of forgetting what he had been, as though being born again, would it not amount to the same practically, or as far as the effects could be perceived, as if the individual were annihilated, and a King of China were the same instant created in his place? The individual would have no reason to desire this.[1]

In reply to this argument we might begin by pointing out that there is at least one sense of memory which is not explicitly excluded in Leibniz's scenario. For example, I remember how to tie shoelaces without remembering when and where I learnt to do this. Thus it is possible that memories as abilities or capacities might link lives in a fashion that is of some personal relevance without there being

conscious memories of the experiences of these previous lives. And in fact the doctrine of karma does maintain that certain dispositions of the sort alluded to here carry across lives. The second point that needs to be made is that some people do claim to remember their previous lives. In the Indian tradition such an ability is thought to be typical of saints and *yogins*. (The Buddhist tradition, for instance, very early linked the acquisition of the ability to recall former births with the actual enlightenment experience of Gautama Buddha.)[2] Moreover, claimed memories of former lives are by no means limited to saints. Occasionally even ordinary people maintain that they have memories of at least fragments of previous lives; such memories including subsequently confirmed data which would seem to have not been available to them in any usual way.[3] Although such cases may not be frequent and well documented enough to be conclusive evidence for rebirth, they are nevertheless strongly suggestive of rebirth. Furthermore, they serve to undermine the claim that the rebirth doctrine is entirely vacuous in personal terms.

These remarks, however, are inconclusive as they stand. In the first place, while it is surely possible that certain dispositions can carry across lives (our genetic inheritance would instance this); yet this degree of psychological continuity may be felt to be too weak to count as *rebirth*. It seems we require some element of memory for the doctrine to have any real personal significance. Of course, the requirement that we actually remember our previous lives is too strong. To preserve the theory from personal vacuity perhaps all we need is the requirement of latent memories. That is, if memory of any given life may be regained at some later point in the series of lives, then this possibility will provide sufficient continuity to hold the series together and hence guarantee the non-vacuity of the concept.[1]

But this suggestion is likely to be judged unsatisfactory for the following reason. The thesis is that the psychological continuity required to make the notion of rebirth non-vacuous can be explicated in terms of actual or latent memories. There is, however, an obvious and fundamental difference between *really* remembering and *seeming* to remember. I can only have real memories of my previous life if I am the same person as the person whose life I remember. But the account of rebirth under discussion supposedly does not insist that I am in any strong sense the *same person* as the person whose life I remember and whom I claim to be a rebirth of.

To meet this objection we need to prise memories (latent or otherwise) away from actual past experiences of those who remember. This can be done by taking over a suggestion of Derek Parfit's and introducing a new notion of memory which he calls *q-memory*:

I am *q*-remembering an event if (1) I have a belief about a past experience which seems in itself like a memory belief, (2) someone did have such an experience, and (3) my belief is dependent upon this experience in the same way (whatever that is) in which a memory of an experience is dependent upon it.[2]

Memories, then, are just *q*-memories of one's own experiences. The concept of *q*-memories is the wider concept; the class of memories is a subset of the class of *q*-memories. If we drop the narrower concept of memory in favour of the wider concept of *q*-memory, then we can explicate the memory condition that provides the psychological continuity across the series of lives in terms of latent *q*-memory. The account so modified is not then open to the objection that it requires a stronger sense of personal identity than it is willing to admit.

The view outlined so far, then, does provide for a sense of continuity which would guarantee the non-vacuity of the doctrine of rebirth in personal terms without insisting upon strict identity across lives. This seems to capture the general Indian view. In the Buddhist

tradition, for example, this view is expressed by the claim that the reborn person is 'neither the same nor another' (*na ca so na ca añño*) in relation to the deceased whose karma he inherits. Thus the well known exchange in the *Milanda-pañha* (11, 2, 1):

The king asked: 'When someone is reborn, Venerable Nagasena, is he the same as the one who just died, or is he another?' The Elder replied: 'He is neither the same nor another.'[1]

Insofar, however, as the reborn person is the karmic heir of the deceased, linked to him by both causally induced dispositions and latent q-memories, it is appropriate to regard them as the same agent, even if they are not strictly the same person.[2]

V

Two further objections to the theory of rebirth were mentioned earlier. They can be conveniently grouped together in that they both concern the moral dimensions of the theory. The first is expressed in the question: 'If my rebirth is not strictly speaking the same person as myself, then why should I concern myself with his fate?' The answer is that there is a moral obligation towards one's karmic heir. Not only is there a general presumption that we are morally obliged to consider the interests of future generations, but there is a 'self-referentially altruistic' argument for particularly concerning oneself with the fate of one's karmic heir. For it is generally felt that one has a particular obligation to those closest to oneself (relatives, friends, etc.) and on this theory one's karmic heir is the very closest of surviving relations. Moreover, if we assume that people are most easily motivated by egoistic concerns, then the more closely we identify with our karmic heirs, the easier it will be to fulfil our moral responsibilities to them. Hence regarding one's karmic heir as the closest moral equivalent to oneself will make it easier to fulfil one's moral obligations.

The other objection, it will be recalled, was to do with the apparent injustice of someone not identical with me incurring the karmic consequences of *my* actions. Strictly speaking, this is not an objection to the theory of rebirth but to the doctrine of karma. However, since the two doctrines are closely intertwined in the Indian tradition, it is appropriate to say something about this charge. In the first place the objection presupposes the truth of a retributivist account of just punishment. That is, it is assumed that it is only just for me to suffer the karmic consequences of a person's actions if I am that very same person. But on alternative deterrence or reformative theories of punishment it may be justifiable in certain circumstances to punish someone for an action he did not commit. Secondly, if we conceive of the 'law of karma' as involving the claim that 'justice is done', then what we have is an implicit theory of justice according to which one's responsibility for actions does not necessarily involve one's strict identity with the person who performed these actions. That is, '*x* is right to holdjy responsible' is the primitive relation and '*A* has the karma of having done *b*' entails '*A* is rightly held responsible for having done *b*'.[1] Such a theory may seem more plausible if we recall that it is certainly a psychological fact that people can feel responsible or be held by others to be responsible for deeds not committed by them. Thus the guilt of some whites over their ancestors' treatment of black slaves, or the way in which some blacks hold all whites to be responsible for past mistreatments of blacks. (This example is, of course, only supposed to show that the idea that one person can be responsible for the actions of another person is not so alien a notion as all that. It is not claimed that this proves that such ascriptions are in fact just.)

Finally, it is sometimes objected that the moral intelligibility of the doctrine that my present circumstances are the result of actions in a previous life requires that we remember such lives. Otherwise there

can be no sense in which someone can be held responsible for an action of which he knows nothing and which occurred before he was born. Hick suggests that this argument can be met by invoking the possibility of latent memories which at some later time are recovered and hence link together the series of lives and deeds in a morally intelligible way.[2] However, even without appealing to Hick's rejoinder, the objection surely will not do. Suppose that as the result of an accident caused by himself a man both kills a pedestrian and also incurs amnesia so that he can remember neither the accident nor the circumstances leading to it. His responsibility for the accident is certainly not diminished by his present circumstances. Nor need he *remember* his actions to feel responsible; all he needs for that is the *belief* that he was responsible for the accident. Thus neither responsibility nor the feeling of being responsible require memory (latent or actual).

IV

To sum up then. I have argued for the metaphysical coherence of the general Indian account of rebirth. To this end two arguments for pre-existence were considered. The first of these was for the pre-existence (and, by analogy, post-existence) of the consciousness series. Given certain qualifications, the argument was found to be sound. The second argument for the pre-existence of the agent was also found to be plausible (given, once again, certain qualifications). However, neither argument establishes the pre-existence or post-existence of *persons* (unless one is unwisely willing simply to identify these with the consciousness series of the first argument). But this is to be expected when we remember the rather different conception of the nature and value of personal existence operating in the Indian context. Nevertheless the notion of the pre-existence and post-existence of the beginningless agent (conceived of as a locus of

actions and abilities) was argued to be not only a metaphysically coherent view, but also one which would be non-vacuous in terms of personal significance.

Of course, the Indians consider the doctrine of rebirth to be more than just a metaphysically coherent theory. Typically they regard the existence of the beginningless cycle of birth, death and rebirth (*saṃsāra*) to be a disagreeable fact. The eschatological goal of the Indian religio-philosophical tradition is complete freedom (*mokṣa*) from this cycle. In keeping with our general account of the agent as a locus of actions and abilities, complete freedom in this tradition is conceived of as a state of non-action wherein those abilities which individuate the agent are nevertheless retained.[1] The agent in such a state does not necessarily cease to exist, even though such an agent is no longer aware of himself *as* an individual. Once again the basic conception of the nature and value of personal existence presupposed here is very different from the traditional Western view and hence so too is the treatment of the notion of immortality. Of course, there still remains the philosophical matter of the nature and value of this Indian goal of complete freedom. But that is another question.[2]

[1] An excellent locus for material on Indian views is Wendy Doniger O'Flaherty, ed., *Karma and Rebirth in Classical Indian Traditions* (Berkeley: University of California Press, 1980). The idea of rebirth is, of course, by no means confined to India: compare the selections in Joseph Head and S. L. Cranston, eds., *Reincarnation in World Thought* (New York: Julian Press, 1967). For a recent attempt to rehabilitate reincarnation within Christianity see Geddes MacGregor, *Reincarnation as a Christian Hope* (London: Macmillan, 1982).

[2] A notable exception is to be found in the recent writings of John Hick: see especially his *Death and Eternal Life* (London: Collins, 1975), chs. 16–19; *Philosophy of Religion* 3rd ed. (Englewood Cliffs, NJ.: Prentice-Hall, 1983), ch. 10.

[1] Peter Geach, *God and the Soul* (London: Routledge & Kegan Paul, 1969), p. 2.

[1] Similar conclusions are urged in J. M. E. McTaggart, *Some Dogmas of Religion* (London: Edward Arnold, 1906), ch. 4; *The Nature of Existence*, vol. 2 (Cambridge: Cambridge University Press, 1927), ch. 63. However, much of McTaggart's argumentation concerning

pre-existence and post-existence is inextricably connected with the special peculiarities of his own metaphysical system.

[2] For a review of some of these arguments see Ninian Smart, *Doctrine and Argument in Indian Philosophy* (London: Allen & Unwin, 1964), ch. 12.

[3] *Nyāyasūtra* III. 1. 18, 21. There is a brief discussion of these arguments in Karl H. Potter, ed., *Indian Metaphysics and Epistemology: The Tradition of Nyāya-Vaśeṣika up to Gaṅgeśa* (Princeton: Princeton University Press, 1977), pp. 35–7.

[4] On these sorts of arguments see Arthur L. Herman, *The Problem of Evil and Indian Thought* (Delhi: Motilal Banarsidass, 1976), part III.

[5] See *The Tattvasaṅgraha of Śāntarakṣita with the Commentary of Kamalaśīla*, vol. 2, trans. Gaṅgānatha Jha (Baroda: Oriental Institute, 1939), pp. 887–935. This seems to be the unspecified source for the 'Buddhist Idealist' argument cited in Smart, pp. 160–1.

[1] This sort of view can be found in Vasubandhu's *Abhidharmakośa*: compare Karl H. Potter, *Presuppositions of India's Philosophies* (Englewood Cliffs, N.J.: Prentice-Hall, 1963), pp. 130–7; Th. Stcherbatsky, *The Central Conception of Buddhism and the Meaning of the Word 'Dharma'* (London: Royal Asiatic Society, 1923).

[1] Karl H. Potter, 'Pre-existence' in P. T. Raju and Alburey Castell, eds., *East-West Studies on the Problem of the Self* (The Hague: Martinus Nijhoff, 1968), pp. 193–207. This paper was originally presented in 1965 and Potter briefly reiterates the argument in order to build upon it in his 'Freedom and Determinism from an Indian Perspective', *Philosophy East and West*, XVII (1967), 113–24 (especially pp. 114–16). The argument has an ancestral connection with one offered in John Wisdom, *Problems of Mind and Matter* (Cambridge: Cambridge University Press, 1934), pp. 123–6.

[1] Such an analysis is offered in Arnold S. Kaufman, 'Ability', *Journal of Philosophy*, LX (1963), 537–51.

[1] On such analyses and their difficulties see Lawrence H. Davis, *Theory of Action* (Englewood Cliffs, N.J.: Prentice-Hall, 1979), ch. 3.

[2] A similar difficulty for Chisholm's account of agent causalism is pointed out in Graham Oddie, 'Control' in R. G. Durrant, ed., *Essays in Honour of Gwen Taylor* (Dunedin: Philosophy Department, University of Otago, 1982), pp. 198–9.

[1] Cf. the suggestion in Arthur C. Danto, *Analytical Philosophy of Action* (Cambridge: Cambridge University Press, 1973) that the limits of my self are defined by my repertoire of basic actions. Danto, however, identifies basic actions with physiological processes and hence identifies agents with their bodily processes. The account I am proposing is neutral with regard to the question of whether there are irreducibly mental basic acts.

[2] *The Thirteen Principal Upanishads*, trans. Robert Ernest Hume, 2nd rev. ed. (London: Oxford University Press, 1931), p. 140.

[1] For the suggestion that the self is simply a set of actual or potential desires (needs, wants, and interests) see Herman, pp. 192–5.

[1] For an interesting discussion of these sorts of objections in relation to Theravāda Buddhism see Peter Forrest, 'Reincarnation Without Survival of Memory or Character', *Philosophy East and West*, XXVIII (1978), 91–7.

[1] *Leibniz Selections*, Philip P. Wiener ed. (New York: Charles Scribner's Sons, 1951), p. 340.

[2] See, for instance, *Majjhima Nikāya*, 1. 248; *Saṃyutta Nikāya*, 11. 213. There are numerous other references in the Pāli Canon to the ability of an adept to recall past lives: see *Digha Nikāya*, 1. 81; *Majjhima Nikāya*, 1. 482, 11. 31, 111. 99, etc.

[3] On such cases the careful researches of Professor Ian Stevenson should be consulted: see his *The Evidence for Survival from Claimed Memories of Former Incarnations* (Tadworth: M. C. Peto, 1961); *Twenty Cases Suggestive of Reincarnation*, 2nd ed. (Charlottesville: University of Virginia Press, 1974); *Cases of the Reincarnation Type*, vols, 1–111 (Charlottesville: University of Virginia Press, 1975–9).

[1] Cf. C. J. Ducasse, *A Critical Examination of the Belief in a Life After Death* (Springfield, Ill.: Charles C. Thomas, 1961), p. 225.

[2] Derek Parfit, 'Personal Identity', *Philosophical Review*, 8 (1971), 15.

[1] Edward Cortze, *Buddhist Scriptures* (Harmondsworth: Penguin, 1959), pp. 149–150.

[2] Gf. *Mahābhārata*, XII, 218 (220), 35 where there is a criticism (apparently directed at the Buddhist view) of the idea that karma should fall to the lot of other than the doer of the deed. Of course, the Buddhist would concede this but deny that 'same doer or agent' is equivalent to 'same person'. Moreover, he would point out that his Hindu opponents must also admit this non-equivalence. Where they differ is on the question of whether '*a* is the same (agent) as b' involves absolute or only relative identity.

[1] Cf. Forrest, p. 94.

[2] *Death and Eternal Life*, p. 354. However, Hick is much more impressed by the argument that the doctrine of karma cannot satisfactorily explain away the problem of suffering (including the inequality of human birth and circumstances) because it involves an infinite regress of explanations which ultimately leaves the phenomenon unexplained: see *Death and Eternal Life*, pp. 308–9; *Philosophy of Religion*, pp. 141–2. This argument seems to me unsatisfactory, based as it is upon a confusion about the nature of explanation and explanatory ultimates. For criticism see my 'Karma and the Problem of Suffering' *Sophia*, xxiv, No. 1 (1985), 4–10.

[1] Cf. Potter, 'Pre-existence', p. 205.

[2] Elsewhere, however, I have discussed some aspects of this question: see my 'Regarding Immortality', *Religious Studies*, XXII (1986), 219–33; 'Dualistic and Non-Dualistic Problems of Immortality', *Philosophy East and West*, XXXV (1985), 333–50.

KARL H. POTTER

The Naturalistic Principle of Karma

INDIAN WRITERS conversant with Western thought have compared the "Law of *Karma*" with the "Law of Causation," saying that, whereas the latter governs the physical order, the former governs the moral order.[1] In this conception several mistaken views about the so-called "Law of Causation" are apparent.

In the first place, the phrase "the Law of Causation" is highly misleading. There are two well-known senses of "law," and in neither one does the doctrine under discussion, viz., "every event has a cause," state a law. The "Law of Causation" is not a prescriptive law, since a prescriptive law presupposes a lawgiver. If there were a lawgiver for the "Law of Causation," it presumably would have to be God. But consider a God who promulgates the Causal Law "Every event must have a cause." Why should he promulgate such a law? A prescriptive law is intended to compel people to act or restrain people from acting in certain ways, and this edict can do nothing of the kind. God may have created the world in such a fashion that every event indeed does have a cause, either by some necessity within the scheme or even as a result of his continuous and direct intervention, but it does not follow from that, even if it be true, that he issued a prescriptive law to that effect.

Nor is the "Law of Causation" a descriptive law. For a descriptive law, a "law of Nature" like Boyle's law, for example, is arrived at when a hypothesis is constantly confirmed and never falsified. But the "hypothesis" "every event has a cause" is not treated like ordinary

hypotheses; apparent falsifications are disallowed on principle. Whereas an ordinary hypothesis is rejected when the outcome of a properly-carried-out and relevant test is negative, the causal "hypothesis" is safeguarded: if we fail to find a cause for a given event, we are advised to keep looking; we are not allowed to reject the principle.

Thus the "Law of Causation" is not a law at all, but a principle. As such, it serves an extremely important function: it formulates a basic presupposition of scientific inquiry, since any empirical inquiry seeks for explanations, and all such explanations are in a broad sense causal.[2]

If the "Law of *Karma*" is to be thought of as parallel in function to the "Law of Causation," it, too, must be viewed as a principle, a principle which formulates a certain program for moral inquiry. As such, it, too, serves an extremely important function. For, just as the causal principle, as I shall hereafter call "Every event has a cause," exhorts us to keep on seeking explanations for physical occurrences, so the karmic principle exhorts us to keep on seeking explanations for what I shall for the moment call "moral" occurrences.

As a result, neither the "Law of Causation" nor the "Law of *Karma*" governs its respective orders, since they are both principles, i.e., exhortations or, if you prefer, programmatic decisions, and so cannot govern anything except in the sense of guiding our future inquiries.

Far from detracting from the importance of the doctrine of *karma*, these considerations underline its ultimacy for human concerns. For the fact that we are committed to the causal principle indicates our basic desire for explanations of physical occurrences, and likewise, if one is committed to the karmic principle, this shows one's desire for explanations of moral occurrences. And, although it seems prima facie that the status of a principle is inferior to that of a law, since

principles are rejectable and laws are not, second thoughts will reveal that this supposed inferiority is a trivial outcome of the fact that in our language-habits we allow ourselves to speak of a rejected principle, while a rejected law is no law at all.

Why should one, however, be committed to the karmic principle? Well, why are scientists committed to the causal principle? Scientists give different answers: some see the practical advantages accruing from control of the sources of physical energy as a relevant reason; others prefer to maintain a lofty disdain for human concerns, at least while in their laboratories. Likewise, one might accept the karmic principle on the impersonal grounds that he is merely interested in the moral order and not in any applications to human conduct his investigations might afford, at least while the investigation is in progress. Scientists treasure their attitude of "objectivity" and feel that practical concerns threaten to cloud the clarity of their vision. Psychologists, even moral philosophers, may take an equally antiseptic stance if they like. But the only result is that they separate their activities as investigators from their activities as inquiring persons with practical concerns, and by so doing take the chance that attention to those concerns may proceed as if their laboratory results do not exist. Such a view of the scientist as functioning under two hats, so to speak, seems to be the result of a failure to see that objectivity does not require suspension of practical concerns but, rather, strict observance of the canons of successful inquiry. Practical concerns generate the questions we ask; they also, in the final analysis, generate the criteria we use for deciding whether or not our questions have been answered; but neither consideration justifies the conclusion that such an inquiry is unobjective.

Just as man's predicament dictates an investigation of the sources of physical power with an eye to adjusting to or even mastering such power, so the very same predicament necessitates an investigation

into the sources of moral strength with intent to master such sources of self-control as can be discovered. The karmic principle stands justified simply by our need to understand ourselves.

In effect, the karmic principle merely makes explicit a vagueness in the causal principle, a vagueness in the notion of an "event" in "Every event has a cause." We have seen that this principle might less misleadingly be phrased "Keep looking for causal explanations of all events." But what are to count as "events"? At this point the various scientific practitioners begin demarcating their respective fields. The karmic principle insists that the field of moral events not be overlooked.

The acceptance of the karmic principle is incompatible with no laws of conduct, not being a law itself. It does, however, conflict with certain alternative principles, specifically with those philosophical positions which deny the existence of moral occurrences, or, while admitting the existence of such occurrences, deny the relevance of causal explanation to them. Such views are characteristic of non-naturalism in contemporary ethical theory. Acceptance of the karmic principle requires one to adopt the position of naturalism in ethics.

The question at issue in assessing naturalism is not one of the truth or falsity of a doctrine, but, rather, one concerning the acceptability of a principle as guiding our investigative policy. As a result, some of the more superficial aspects of contemporary debate may be overlooked in favor of a more searching analysis of men's motives in denying, or affirming, that there are moral occurrences and that they are subject to causal explanation.

The motivation for the naturalist, he who espouses the karmic principle, is the same as that which motivates him to accept the causal principle: he believes that understanding the causes of any event enables him to anticipate and adjust to subsequent events of a

like nature, and he further believes that anticipation of and adjustment to future events is a worth-while human concern. The naturalist fears unexplained events, for they are beyond human control. But he trusts man's ability to overcome the limitations of ignorance. Naturalism, then, posits the principle that all areas of human interest can be eventually mastered through scientific inquiry, and, since the area of moral decisions is central in human striving, he refuses to remove it from the scope of scientific investigation.

The motivation for non-naturalism may seem to stem from several sources. But the major source is the fear of explained events. The fear is that if we knew all the causes of all events we would know precisely what the future will bring, a self-stultifying and debilitating prospect. Thus, although the non-naturalist admits the wisdom of seeking causal explanations within limits, he opposes such a search in the area which lies closest to human decisions, the area of what I have been calling "moral events."

Though this is not the only professed motive for non-naturalism, other reasons for the view seem to come to much the same thing in the end. Naturalism may be opposed, for example, on the ground that human understanding, unlike God's, has intrinsic limitations, that any attempt by man to go beyond his own limits and emulate God's understanding is doomed to failure, and that rash claims on behalf of man's complete perfectibility in this regard are blasphemous. All this seems to be a rationalization of the fear noted in the previous paragraph. Why should anyone object to an investigation of any sort of events, unless he believes that such an investigation will produce some positive harm? And what sort of harm, other than the realization of the debilitating prospect mentioned above, could possibly accrue from rational inquiry, the same kind of inquiry, after all, which even the non-naturalist admits to be appropriate and desirable everywhere else except here?

Yet the problem, once recognized, is genuine enough. If non-naturalists are to be persuaded to give up their view, they will have to be convinced either (1) that complete understanding of the causes of all events will still not enable us to predict the future completely and with finality, or (2) that such complete predictive ability, far from being the stultifying prospect the nonnaturalist assumes it to be, is indeed precisely the state of perfection man should aim for. The first thesis is a kind of indeterminism, the second a seemingly paradoxical account of human freedom as a state in which no choice at all is open.

Among the ancient *darśsanas* of India one can make out a distinction between naturalism and non-naturalism. This distinction is one which I have elsewhere called the difference between "progress philosophy" and "leap philosophy."[3] In Sanskrit the former is called "*jāti-vāda*" the latter "*ajātivāda*." The cleavage is fundamental. The leap philosophers, or non-naturalists, refuse to allow causal explanations as relevant to some part of human endeavors, restricting causal categories to only a part of the events which concern men. The remaining part, unamenable to rational understanding, is treated in varying ways by Indian non-naturalists. Some, e.g., Mādhyamika Buddhists and the Vivaraṇa branch of the Advaita Vedānta, postulate a second sort of understanding (often called *prajñā*) to grasp these acausal categories. Other non-naturalists take refuge in theism, for example, the Śrīvaiṣṇavite interpretation of Rāmānuja and Madhva's Dvaita. Under the impetus of what is now referred to as the "*bhakti* movement," non-naturalism of this latter sort, which features dependence on the grace of God, has become increasingly prevalent in India. The result has been that the concerns served by adherence to the karmic principle have been more and more ignored in favor of a resigned attribution to God of responsibility for human failings. In a context of non-naturalism, the

"Law of *Karma*" loses its meaning as a principle and indeed takes on a strongly fatalistic flavor. That was not its original intent, however.

Readers unacquainted with the cleavage in the history of ideas in India sketched above may well be puzzled when they find Hiriyanna and Chatterjee at one and the same time disclaiming deterministic consequences for the "Law of *Karma*" and yet apparently admitting that the "Law" entails that every event is completely determined—all the while apparently failing to see the contradictions involved in these views. Suryanarayana Sastri is more insightful, seeing rightly the naturalistic implications of the "Law" and the inadequacy of the non-naturalists' answer. His own solution on behalf of naturalistic (*Bhāmafī*) Advaita is, unfortunately, not satisfactory, either. With the dubious authority of Eddington, he appeals to the principle of indeterminacy to justify indeterminism. But he, like the other two, fails to see what has been argued above, that the "Law of *Karma*" is not a law but a principle which, so long as it is maintained, commits us to seeking a deterministic order beneath the quantum order or whatever other incompletely determined order science may arrive at through further investigation.

Meeting the non-naturalist by espousing indeterminism is to throw out the baby with the bath. In the remainder of this paper, I wish to propose an interpretation of the karmic principle which may help naturalists forge an answer along the second line mentioned above, by resolving the paradox of human freedom.

What are these "moral events" the causal explanations of which the karmic principle exhorts us to seek? I suggest that they are habits (or traces), or perhaps the sources of habituation (*samṁskāra, bhāvanā, vāsanā*).[4] It is a fact, well known to reflective men the world over, that many of the frustrations in life are due to our inability to deviate at the appropriate moment from habits built up prior to the

moment of decision. This, then, is the bondage to *karma*, habit, which thwarts human freedom even when no "external" constraint is present.

The karmic principle exhorts us particularly to seek the necessary conditions of habituation. The idea is that, having discovered the kinds of events which constitute the necessary conditions of habituation, we can proceed to ensure that those kinds of events do not recur. As a result, we will be released from bondage to habits, and this release is itself a necessary condition (perhaps even a sufficient condition) for *mokṣa*, complete release from all dependence on the not-self.

When the self attains complete release it will be omniscient in the sense that it will be able to predict the state of the world at every moment in the future (and no doubt to postdict for every moment in the past). This is the conception of man's goal which the non-naturalist finds so repugnant, apparently because no choice is open to such an omniscient being. But this phrase, "no choice is open," is unclear and in need of analysis, and upon such analysis it will turn out that the non-naturalist, misled by crucial ambiguities in terms like "habit," rejects this naturalistic conception of freedom on inadequate grounds.

There are two sorts of situations in which it would be strictly appropriate to say "no choice is open to me." One is the situation where the alternatives are limited to one. The closest approximation to this situation in ordinary experience is the stock example of the man forced to give up his wallet at gunpoint, but this is, of course, strictly speaking, not a case in point since obviously one does have more than one alternative in this situation, though the other alternative—probably being shot—is very unpleasant. Now, it is reasoned, restriction of alternatives even to this extent is highly

undesirable—how much worse if it were strictly true that only one alternative were open. Note how the repugnance we exhibit at being forced to do something against our will is carried over into the stricter case, although no reason is given why the description "alternatives limited to one" must be taken to apply only to cases where the "alternative" in question is contrary to our wishes.

A second situation answering strictly to "no choice is open" is the situation where indeed no choice is open, since choosing is not in point, because of the intrinsic character of the situation. An approximation to this might be found in experiences of severe depression where, since nothing seems more worth-while than anything else, choosing seems out of point and one relapses into catatonia. Again, this is not strictly a case of the situation in question, since one could well say of such a depressive, "Nevertheless, choices are open to him, including the choice not to do anything at all." Again the example is highly repellent, and this quality is easily carried over to that which it is taken to approximate. Again, note that the resignation characteristic of the catatonic is carried over into the strict case, although nothing is provided as sanction for this identification.

Now let us return to "habit." Moral advisors show a curious contrariness in their attitudes to habit. Such a counselor advises us, on the one hand, not to be a slave to habits; on the other, to develop habits. An overly regular life is bad, but so is an underregulated one. One may well suspect from this that important distinctions are being overlooked in connection with this notion. Surely we are not being advised to develop the same things we are at the same time to dispense with?

We are insufficiently clear about habituation. Western moralists tend to say here that the problem which the foregoing remarks point

up is the problem of telling which habits are good and which ones bad. This way of speaking makes it sound as if there were properties of "goodness" and "badness" which characterize two distinct classes of habits, and that our problem is to classify habits into these two varieties by discovering the presence of these properties. But since one cannot assume that any observable features of habits are signs of the presence of goodness and badness—to do so would be to move from an "is" to an "ought" or to commit the "naturalistic fallacy"—the non-naturalist goes on to conclude that one must intuit the presence of these properties directly. Having intuited which habits are good, one is then exhorted to develop these habits. No causal explanations are necessary or desirable, for the non-naturalist does not desire to eliminate habits but, rather, to develop certain ones and to abandon others.

The weaknesses in this account should be evident. First, the assumption that goodness and badness are intrinsic and mutually exclusive features of two kinds of moral occurrences is open to question. Second, the appeal to intuition is suspect, particularly when the non-naturalist is apparently unable to give any criteria for discriminating good habits from bad ones. Finally, the non-naturalist does not explain how we are to develop certain habits and abandon others without learning and utilizing causal laws concerning these habits. Note that these weaknesses have nothing to do with the move from "is" to "ought" or with the "naturalistic fallacy." The naturalist may well admit that, if it were in point to seek goodness and badness in habits, these maneuvers would be mistakes. But his position, properly understood, is that such a search is unnecessary.

The problem is not to discriminate between good and bad habits. It is, rather, to avoid habituation, i. e., to avoid losing control of one's habits. Thus the *Bhagavad-gītā* tells us that both good and bad

habits bind us. Bondage, habituation, is a feature of all kinds of habits, good and bad.[5] But, fortunately, it is not an intrinsic feature.

Let us distinguish "habituation," meaning the state of behaving in a regular pattern, from "habituation^2," meaning the state of behaving in regulated ways determined by forces beyond one's control. Thus a regular smoker is habituated^1, but may or may not be habituated^2, depending on whether he can control his smoking as and when he wishes, e.g., whether he can stop at will for a given period.

The presence or absence of habituation^2, as well as of habituation^1, is a matter of natural fact and involves no special non-naturalistic intuition. Likewise, discovery of the necessary conditions for habituation^2 is a proper matter for scientific investigation; we need no occult powers to carry it out. And, finally, utilizing this discovery to free ourselves from habituation^2 is no different kind of problem from any other problem of applied science. Such utilization may well involve habituation^1. *Yoga*, for example, is the development of habituation^1 in order to eliminate habituation^2.

Now, with such a clarification of "habit" in mind, it can be seen that the naturalistic conception of freedom as man's goal is not as unpleasant a state to aim for as the non-naturalist claims it to be. Once we have seen that habituation need not involve loss of control to the not-self, we can see that in a state of perfect freedom we might be habituatedi to the extent that "no choice is open," and yet it will not follow that someone or something else is making our choices for us. No choice is open to us in such a state precisely because we are in complete control of ourselves and thus cannot be distracted by desires arising from alien sources. We will not have resigned ourselves to external control; rather, we will have renounced choice because we will have renounced all desires arising from the not-self.

There are other principles that Indian naturalists accept as corollaries to the karmic principle. Prominent among these is the doctrine of reincarnation or transmigration of the self. In judging the worth of such a doctrine, we should first reconstrue it as a principle, assess its function as such, and then judge the other aspects as critically as we wish to. Thus, I have tried above to explain the function of the karmic principle, but I remain critical of some of the specific ways in which this principle has been rendered for popular consumption. For example, the tracing of specific efTects to specific previous acts must either be independently justified through proper investigation or, if not, it must be construed as a picturesque way of reminding people of the concerns which lead them to adopt the karmic principle. In this latter guise, the doctrine of *karma* need not be taken any more seriously by thoughtful people than any similar myth.

Likewise, the doctrine of transmigration seems to be a mixture of mythical elements with an extremely important naturalistic principle. The karmic principle "keep looking for causes of habituation[2]" requires as corollary what may be called the principle of beginninglessness, which allows us to continue exploring earlier events as possible causes for habituation[2] when we have run out of candidates among later events. Thus the principle of beginninglessness extends the scope of the search for causal explanations throughout time, as it were. The principle underlying transmigration includes the principle of beginninglessness and, so to speak, expands it. It allows us when exploring the causes of the habituation of an individual inhabiting a certain space-time region to look for such causes in any and all space-time regions prior to the behavior in question.

As a result, it allows us, if we wish, to construe the history of an individual person as extending without spatial or temporal

restriction. Thus, if we wish so to construe my history we could include in that history all factors which have in any way conditioned my habituation[2], whether such factors are located in this physical body I now possess or in another body or in no body whatsoever. Whether we wish to construe the concept of a "person" in such a way is a matter for us to decide; there are clearly drawbacks to such a way of speaking, prominent among them the fact that it would involve a serious deviation from current usage and consequent obstruction of communication. Such drawbacks are not conclusive reasons against reforming our conceptual scheme, however. If through such a reform there were clear advantages to be gained in discovering explanation[2], for habituation, for example, this would outweigh all other considerations for the naturalist.

It is quite possible that a thorough rethinking of the problem of personal identity along these lines would be beneficial. But seriously to construe the history of an individual person in some fashion short of complete interpenetration of his history with the histories of other individuals, at least in the absence of any further distinctions bearing upon the successful functioning of the karmic principle, is to lose sight of that principle. For this reason, one cannot seriously accept the special theory of transmigration as found in popular Indian classics, where we are told that the Buddha was a deer in a former birth, etc. However, I do not suppose that such tales are intended "seriously"; they are myths, and as such serve an indispensable function in disseminating the karmic principle and its corollaries to all mankind.

The corollary to the karmic principle which I have been discussing seems, rather than providing a basis for a more perspicuous account of personal individuality, to provide a basis for understanding to what extent we are bound to each other and to the "impersonal" environment by mutual concerns. Instead of discrete chains of events

paralleling each other back through time from each of our presently functioning bodies, we must, rather, learn to think of our histories as interpenetrating fields of force (to suggest one among several models), and of the events influencing the development of those fields as being located, not in a "moral" or "spiritual" realm distinct from the physical one, but in the one world of Nature, the world studied from various angles by physics, biology, history, the arts, and religion. Love, mutual concern, is not to be considered as restricted to some non-natural realm; it can and must be investigated by all the various fields of inquiry. Furthermore, along these lines we may be able to make naturalistic sense of universal insights currently construed non-naturalistically, such as the insight that through love for others one may successfully combat habituation[2].

The decline of naturalism in India is particularly unfortunate, for it is Indian naturalists who have most clearly noted the consequences of that position for the ultimate goals of mankind. Western naturalists, under the influence of a shallow Humean and Millian libertarianism, have most often failed to recognize the implications of the causal principle for self-realization. Indian philosophy is now identified with non-naturalism by practically all Western philosophers, despite its pioneering work on the naturalistic side of the ledger. One would hope to see a revival of naturalism in India, a naturalism sophisticatedly aware of developments in Western ethical theory but emphasizing the unique contributions of Indian moral teachings as classically expounded in such naturalistic texts as the *Bhagavad-gītā* and Patañjali's *Yoga-sūtra*. Such a revival would constitute a most important advance in the resolution of the deep-seated issues which divide naturalists from non-naturalists throughout the philosophical world.

What, then, are the philosophical implications of the doctrine of *karma*?. The most fundamental implication is that the human

predicament requires us to view our world naruralistically, i.e., as governed by discoverable regularities. Only by so viewing the world can we hope to free ourselves from the suffering which, by common consent of all Indian systems, Hindu, Buddhist, and Jaina, pervades our lives. It is worth noting that those Indian philosophers who have allowed themselves to suggest that the doctrine of *karma* is only a convenient fiction have tended to be either skeptics or extreme devotionalists. These latter types of philosophers characteristically abandon the traditional Indian ideal of salvation through liberation, either by outright denial of its possibility, as in the case of the skeptics, or by substituting other ideals in its place, as in the medieval ideal of slavery to God (*kainkārya*).

Indeed, *karma*, the naturalistic principle, is not a doctrine with philosophical implications so much as a presupposition of what is to count as a philosophical implication. When the presupposition of *karma* is withdrawn, we quickly leave the characteristic concerns of classical Indian philosophy for the quite different concerns of medieval and modern Indian theology. The cleavage between naturalism and non-naturalism is fundamental. There is no more important choice to be made by those seeking a philosophy of life than that between these nvo methodological assumptions.

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[1] E.g., S. C. Chatterjee, *The Fundamentals of Hinduism* (Calcutta: Das Gupta & Co., 1950; reprinted 1960), pp. 72 ff.; Mysore Hiriyanna, *Popular Essays in Indian Philosophy* (Mysore: Kavyalaya Publishers, 1952), pp. 30–34; *Collected Papers of Professor S. S. Suryanarayana Sastri*, T. M. P. Mahadevan, ed., (Madras: University of Madras, 1961), pp. 233–238.

[2] The word "causal" is currently out of fashion in empiricist circles, and discussion at the moment rages over the question of an inductivist versus a deductivist account of verification and falsification. These discussions do not bear upon anything claimed here, however.

[3] See "A Fresh Classification of Indian Philosophical Systems," *Journal of Asian Studies*, XXI, No. 1 (November, 1961), 25–32; the distinction is further expounded in my book *Presuppositions of India's Philosophies* (Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1963).

[4] Chatterjee, *op. cit.*, pp. 82–83, notes the parallels between *karma* and habit without quite identifying them.

[5] The *Gīfā* finds three kinds of habits: good (*sattva*), passionate (*rajas*), and indifferent (*tamas*). But they all bind. See III. 5 and II. 45.

ELIOT S. DEUTSCH

Karma as a "Convenient Fiction" in the Advaita Vedānta

According as one acts, according as one conducts himself, so does he become. The doer of good becomes good. The doer of evil becomes evil. One becomes virtuous by virtuous actions, bad by bad actions.[1]

Coarse and fine, many in number,

The embodied one chooses forms according to his own qualities.[2]

ACCORDING TO THE doctrine of *karma*, everyone is conditioned and determined by his conduct, as this is enacted over a period of innumerable births, deaths, and rebirths: every deed that one performs has its effect in the world and forms a tendency (*saṁskāra* or *vāsana*) within the doer which is the basis for his future deeds. *Karma* is thus the "law" which sets forth the relation that obtains between one's actions and one's state of being. "All the Indian systems" writes S. N. Dasgupta, "agree in believing that whatever action is done by an individual leaves behind it some sort of potency which has the power to ordain for him joy or sorrow in the future according as it is good or bad."[3]

There is perhaps no other basic doctrine in Indian philosophy which has had such a hold upon the popular thinking and practical religion of India and which, in spite of Plato's *Republic* and *Phaedo*, has met with as much resistance among Western philosophers as the doctrine of *karma*.[4] One of the reasons for this situation is that Indian philosophy for the most part has failed to make explicit and clear just what the status of this idea is. Indian philosophers, in other

words, have neglected to approach the doctrine of *karma* critically. Our intention here is to take away some of the literalness from *karma* by showing that, within the framework of the Advaita Vedānta, it is necessarily a "convenient fiction": a concept which is undemonstrable but useful in interpreting human experience.[5]

I

Following the Bhāṭ ṭa school of the Mīmāṁsā, the Advaita Vedānta indentifies six *pramāṇas* (means of valid knowledge). These are *pratyakṣa* (perception), *upamāna* (comparison), *anupalabdhi* (non-cognition), *anumāna* (inference), *arthāpatti* (postulation), and *śabda* (testimony). To show the undemonstrability of *karma* within the framework of the Advaita Vedānta, one has to show that *karma* cannot be secured by any of these *pramāṇas*; that *karma* cannot be established by any of the means of knowledge available to man.

In terms of *pratyakṣa* (perception), which is described by the Vedānta as the going out of the *manas* (mind) or *antaḥkaraṇa* (internal organ) through the *indriyas* (senses) to the object and the assuming of its form, it is clear that *karma* cannot be established, simply because it is not an object like a table, a tree, a pot that is available to immediate sense-experience. *Pratyakṣa* yields knowledge of the qualities of an object (like its color, size, texture) and the relations which constitute it (e.g., the universal "tableness" in the perception of a table); it does not and cannot yield knowledge of law-like relations between objects in Nature.[6]

The same holds true of *upamāna* (comparison) and *anupalabdhi* (non-cognition), which, respectively, yield knowledge as derived from judgments of similarity (that a remembered object is like a perceived one) and from judgments of absence (that a specific object is non-existent at a given time and place). Judgments founded on *upamāna*

are of the sort "Y is like X," where X is an object immediately perceived and Y is an object previously perceived and now brought to consciousness in the form of a memory. Judgments founded on *anupalabdhi* are of the sort "There is no Z in this room" where Z is an object that would be perceived then and there if it did exist. Neither is of the kind: "The Law of *Karma* is operative in Nature." Although the Vedānta keeps these first three *pramāṇas* separate and distinct from each other, they do have this in common, that their fundamental origin and locus are perceptual. Now, expanding this somewhat in terms of empirical experience as a whole, it is generally recognized today that there is at least one requirement that a theory about that experience must satisfy if it can be empirically validated. One must be able to move from the theory to the data which it is about and determine by observation whether or not the theory or hypothesis does bring the data together in a confirming way. According to this basic requirement, *karma* is undemonstrable. There is no way known to us whereby one can observe one's "past life" and its effect upon one's "present life." Spinoza puts it categorically in this way: "The mind can imagine nothing, nor can it recollect anything that is past, except while the body exists."[7] And so long as one's body exists, one is confined empirically to one's "present life." One can, in principle, see if one's conduct determines one's being in one's "present life"; one can see whether or not one's actions do reverberate back into one's nature and condition one's personality; one cannot, however, as far as we know, see beyond this.[8] "As one acts, so one becomes" is, in principle, demonstrable within one's "present life." As a law which extends beyond this, it is undemonstrable; and to assert it in this form as a literal truth would involve an unjustified extrapolation from a limited phenomenal fact. In Kantian language, it would be extending a concept beyond experience.[9]

The next *pramāṇa*, or source of valid knowledge, is that of *anumāna* (inference); and here we need call attention only to the fact that valid inferential knowledge is obtained for the Vedānta only when a knowledge of the invariable relation (*vyāpti*) between that which is inferred (*sādhya*) and the reason or basis (*hetu*) from which the inference is made is attained. *Anumāna* is mediate knowledge based on the apprehension, which is experientially uncontradicted, of a universal agreement between two things. A valid inference requires an invariable concomitance between the major and middle terms. Now *karma* cannot be established by inference, for the simple reason that the nature of inferential reasoning in Indian philosophy precludes the possibility of a universal proposition or law being the conclusion of an inference. It might be the result of induction, but not of deduction.[10]

Apart from the *pramāṇa* of inference as such, there is one further notion of rational demonstration implicit in the Advaita Vedānta. An idea or doctrine may be regarded as demonstrated if it "coheres" with or follows from the basic metaphysical principles of the Vedānta, and if its denial involves consequences which are self-contradictory.[11] According to the Upaniṣadic philosophy, where *karma* (in the Brāhmaṇic tradition) is first explicitly formulated, and, as interpreted by the Advaita, the super-personal "oneness of being" (*Brahman*) as it is in itself and as it is manifest as the ground of the human being (*Ātman*), is alone fully real and is thus the sole "truth." All other dimensions and interpretations of experience have only a relative or provisional existence and truth value. And *karma*, according to this philosophy, cannot be applied to this oneness. "It must be clearly understood," writes Swami Nikhilananda, "that this doctrine cannot be applied to the Soul, or Ātman, which is, in Its true nature, beyond birth and death, and unaffected by time, space, and the law of causation. It [*karma*] has reference only to the jiva, or

embodied soul. It belongs to what is called the 'inferior knowledge' (aparā vidyā), by which one seeks to explain the relative world, and not to the 'superior knowledge' (parā vidyā), which is the science of Ātman."[12] In short, then, *karma* is only a "relative idea"; and it does not follow from the real nature of being. Its necessity is not logically implied by the metaphysical principles of the Advaita, and its denial does not lead to consequences which are self-contradictory.[13] *Karma*, therefore, when looked upon as a rational concept or idea as distinct from an empirical, scientific theory, is not demonstrated, and, within the Advaita Vedānta, it is rationally undemonstrable.

Closely related to *anumāna*, yet separate from it according to Vedāntic epistemology, is the *pramāṇa* known as *arthāpatti* (postulation), and according to some interpreters of the Vedānta, *karma* can be justified by this mode of knowledge. Dharmarāja, the author of the classic Advaitic treatise on epistemology, writes:

> *Arthāpatti* consists in the postulation, by a cognition which has to be made intelligible, of what will make that intelligible … e.g., since in the absence of eating at night, the fatness of one who does not eat by day is unintelligible, that kind of fatness is what is to be made intelligible; or else, since in the absence of eating by night there is unintelligibility … eating by night is what makes that intelligible.[14]

In other words, *arthāpatti* is the assuming or postulating of some fact in order to make another fact intelligible. In the example cited, apart from possible inadequacies in the physiology, if one observes that a man is fasting during the day but continues to gain weight, one must assume that he is eating at night, for there is no other way to reconcile fasting and the gaining of weight. D. M. Datta, in expositing *arthāpatti*, states that "the assumption … is justified and is a valid piece of knowledge … because the fact assumed is the only one that can explain" and that "all necessary and indispensable suppositions such as … the law of karma necessary for explaining the otherwise inexplicable good and bad luck of persons … are cases of *arthāpatti*"[15]

But *karma* is not justified by this *pramāṇa*, for it does not fulfill the requirement of uniqueness. *Karma* is not the only possible supposition to account for the good and bad luck of persons (i.e., the differences in their moral, intellectual, spiritual capacities), as indeed many others (e.g., divine predestination or naturalistic hereditary factors) have been put forward and have been capable of generating strong belief. *Karma* is thus not established by *arthāpatti*: it is not the only way by which inequalities can be made intelligible.

The last *pramāṇa* accepted by Advaita Vedānta is *śabda* (testimony). It refers in general to the validity of one's accepting as true that information which one receives from a "reliable" person or "expert." In the Advaita, the term " *śabda*" is used primarily with respect to *Śrūti*, the Vedic scripture, and more specifically to what is said in the Upaniṣads. Again, without tracing the historical and psychological complexities involved in this belief in the authority of the Veda, it is necessary to call attention only to certain central facts, namely, that for the Advaita, as for the other "orthodox systems," the appeal to *Śrūti* is not without its qualifications and that the appeal itself is based ultimately on accepting the insights obtained through spiritual experience. One need not read far in "orthodox" philosophical literature before realizing that some curious principles of scriptural exegesis are used to support ideas that, in many cases, have little direct relation to the text. More often than not, the principle of looking for a "secondary meaning" of a statement, rather than accepting the primary or obvious one, is adopted and is used to harmonize the statement with one's own philosophical position. Further, it is the rare Advaitin indeed who would hold to a scriptural utterance if it directly contradicted empirical or rational experience.[16] Scriptural authority is accepted only for those truths which transcend reason and the senses and are derived from spiritual experience. Krishnachandra Bhattacharyya rightly points out that "for purposes

of philosophy, we may generally substitute in place of faith in scriptures, spiritual experience."[17] And even here the acceptance of the spiritual experience embodied in the Veda is not so much a question of simply believing in it, as it is whether or not the acceptance is a means for the attaining of one's self-realization. Śaṃkara himself states that "the existence of such objects as scripture, etc., is due to empirical existence which is illusory.... Scripture [and the distinction between] teacher and taught is illusory and exists only as a means to the realization of Reality."[18]

In terms of spiritual experience an idea may be considered demonstrated or validated for the Advaita only if, phenomenologically, it describes a "content" of that experience. The Upaniṣads, according to the Advaitic interpretation, make clear-cut distinctions between ignorance (*avidyā*) and spiritual knowledge (*vidyā*), relative or finite existence (*māyā*) and the fullness of being (*Brahman*), bondage (*bandha*) and freedom (*mokṣa*). When one attains freedom and intuitive insight or self-knowledge, *karma*, as well as all other aspects of phenomenal experience, disappears from consciousness and no longer applies as a truth of one's being.[19] Spiritual experience, for the Advaitin, is experience of unity or identity: one cannot experience sequential time—past, present, future—when one is in a state of being that transcends all categories of time (*nirvikalpa samādhi; turīya). Karma*, therefore, cannot be a content of spiritual experience.

Karma is undemonstrated and is for the Advaita Vedānta undemonstrable, and hence, logically, it has the status of a "fiction."[20] It remains for us to determine its "convenience" or "usefulness" in interpreting human experience.

II

If we put ourselves in the place of the Upaniṣadic *gurus*, we can see that they were confronted with several practical-philosophical problems related to teaching their students the way to *mokṣa*, and that it was precisely these problems that gave rise to their acceptance of *karma*. The first problem was that of working out a definition or conception of *mokṣa* (freedom). In practically every Vedāntic text *mokṣa* is defined in terms of liberation from bondage (*bandha*), and one of the central concepts employed in the notion of bondage is that of *karma*. But what is the necessity, one may ask, of defining freedom in terms of a bondage grounded in *karma*? The Upaniṣadic answer seems to be that, except for the very few for whom the Advaita comes naturally, as it were, an awareness of being in bondage is necessary to inspire one to make the quest for freedom,[21] and that *karma* provides a ready means for instilling this awareness. *Karma* can be acknowledged with but little imagination to be operative in life: it is far easier to talk about, and convince another of, the lasting effect of his actions than it is, for instance, to talk about the binding nature of his ideas, concepts, and language itself. Everyone can become aware of motives based on desire (*kāma*) which lead to acts and decisions that have moral consequences. *Karma* is thus employed for formulating a definition of bondage which itself is necessary for formulating a conception of freedom.

Closely related to this first problem, and of more specific concrete application, is the problem of moral preparation. The Upaniṣadic sages were aware that there are moral prerequisites to the study of philosophy. Purity of heart, self-control, renunciation of sensuous pleasures, etc., are necessary for one who aspires to enlightenment.[22] The second problem, then, was: How can men be persuaded to live a moral life? One of the best answers to this problem is *karma*. If men feel that a tremendous importance is attached to every moral act and

decision, that whatever they do will yield results that have an influence on the entire nature of their being, now and in the future, they will think twice about leading anything other than a moral life. Salvation consists in enlightenment; morality is necessary to enlightenment; he who acts otherwise is doomed to *saṁsara*. Śaṁkara bears out this "convenient" interpretation when he states that, "unless a person is aware of the existence of a future life, he will not feel inclined to attain what is good in this life and avoid what is evil. For there is the example of the materialist."[23]

The sages of the Upaniṣads were also no doubt aware of the fact that there is an enormous distance that most persons must cover before they are even prepared to pursue a life of the spirit; and, also, that, having once embarked upon the spiritual quest, any number and kind of failures result. It just does not seem possible that one life is sufficient for most men to attain *mokṣa*. Many persons, no matter how hard they try, no matter how devoted they are to the quest, actually attain very little. How, then, the *gurus* must have asked, can we avoid discouragement and retreat among our students ? The doctrine of *karma* solves this difficulty directly. No effort goes to waste. What one cannot attain in this life, one will attain, or be better prepared to attain, in another life.[24]

The last problem for which *karma* offers a solution is the one most fre-quently pointed to: the problem of inequality and evil, of why there are such great differences among men in spiritual and mental capacity, or why men occupy such different places within the socio-economic order. The experience that the sages had with their students led them to the obvious conclusion that some were spiritually and intellectually more gifted than others. This is a simple fact. Some men are, in actuality, incapable of philosophical understanding (*vijñana*) and spiritual insight (*jñāna*); other men have a natural talent for these attainments. The doctrine of *karma*

provides a useful answer to this problem. The spiritual and intellectual differences between *jīvas* are due to their conduct. Their capacity, or the place in society which they occupy, at any one time is the result of their past action. "Evil," then, is to be accounted for strictly in terms of the individual's own experience. One gets what one deserves, as it were, in terms of one's past and present conduct. Suffering, misfortune, ignorance, cannot be traced ultimately to anything outside of the conditions of individual human experience itself.[25]

But here a strong objection may be raised, namely, that *karma*, rather than being a convenient fiction, is in fact a highly inconvenient one. Those who hold this view argue that the acceptance of *karma* makes for a kind of apathy in one's basic attitudes toward life and toward social welfare; that, although the doctrine itself affirms the possibility of change, "it is open to one to remake his life and that the future is not a finished product like the past." Nevertheless, in practice, it encourages a tendency to give up in the face of the enormous burden of one's past experience. It is easier to accept one's position, one's behavior as governed by one's predispositions, than it is to change it, and *karma* readily supports this attitude.[26] Further, it provides a too-easy excuse for maintaining existing social ills and inequities. *Karma* has served, and continues to serve, as a sanction for the caste system—and the terrible injustices of this system, especially with regard to the "Scheduled Castes," have been pointed out frequently enough not to have to be mentioned again.

A moralist or sociologist could thus present a strong case for showing the social inconvenience of *karma*. It is not our purpose here to agree or to disagree with this appraisal, as it is largely irrelevant to the question of the logical status of *karma*. We have attempted to show only that, on the basis of the metaphysical and epistemological assumptions of the Advaita Vedānta, the doctrine of

karma is undemonstrable, and that the doctrine was used by the Upaniṣadic *gurus* with the expectation that it would resolve certain special problems that arise within the context of a philosophical practice which aspires to the realization of self-knowledge and freedom.

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[1] *Bṛhadāraṇyaka Upaniṣad*. IV. iv.5, in R. E. Hume, trans., *Thirteen Principal Upanishads* (London: Oxford University Press, 1931).

[2] *Śvestāśvatara Upaniṣad*, V.11, in *ibid*.

[3] Surendranath Dasgupta, *A History of Indian Philosophy*, Vol. I (Cambridge: Cambridge University Press, 1957), p. 71.

To the possible objection that *karma* denies freedom to man, and is thus self-negating, M. Hiriyanna states that "to act with arbitrarily shifting motives would be to act from impulses, as many lower animals do. Hence freedom should be regarded as consisting not in unrestricted license, but in being determined by oneself. When therefore we ask whether belief in karma does not result in fatalism, all that we mean is whether it does or does not preclude self-determination. That it does not is evident, because the doctrine traces the causes which determine an action to the very individual that acts." *The Essentials of Indian Philosophy* (London: George Allen & Unwin Ltd., 1949), p. 47. Hiriyanna then goes on to note the manner in which transmigration is involved in the *karma* doctrine. He writes: "Since, however, those causes cannot all be found within the narrow limits of a single life, it [the doctrine] postulates the theory of *saṃsāra* or the continued existence of the self in a succession of lives. Thus the theory of transmigration is a necessary corollary to the doctrine of Karma" (*ibid*.).

From now on, when we use the term "*karma*" we mean to refer to the joint doctrine of the "law" of karma—the principle of causality which holds that all moral actions produce moral effects—and of *saṃsāra*—the principle that there is a transmigration of the self in a series of births, deaths, and rebirths.

[4] It is difficult, if not impossible, to determine the precise source of *karma* in the Vedic tradition or the exact point in its development when it took hold. Some scholars (e.g., A. A. Macdonnell, Sir Charles Eliot, and A. B. Keith) believe that it is essentially an un-Aryan idea, one which was taken over from the "Dravidians," while other scholars believe that it has its roots in the *Ṛg-veda* itself. R. D. Ranade, for example, with Rudolph Roth, Otto Böhtlingk, and Karl Friedrich Geldner, holds that an analysis of *Ṛg-veda* I. 164 shows that "the three chief moments in the idea of transmigration … are all implicitly found so far back as the time of the *Ṛg-veda*; and when these are coupled with the incipient idea of the quality of action (*dharma*) which determines a future existence, we see that there is no reason why we should

persist in saying that the idea … [of *karma*] is an un-Aryan idea." *A Constructive Survey of Upaniṣadic Philosophy* (Poona: Oriental Book Agency, 1926), p. 152.

Another view that is widely held today is that *karma* is an Upaniṣadic extension of certain underlying beliefs that were prevalent in the early Vedic sacrificial period, namely, the belief that the performance of certain ritual actions automatically brings about certain results. *Karma* is just the extension into the moral sphere of the belief in the mechanical efficacy that governs the sacrifice.

Whether *karma* has its roots in the *Ṛg-veda* or was borrowed from non-Aryan sources, or whether, again, it is but a natural extension of beliefs present in early Vedic times, is of historical importance. However, as pointed out, all the later systems of Indian thought agree that *karma* is operative in life; they disagree only as to what it is that transmigrates and as to how it takes place; that it takes place is accepted, and this alone is of philosophical importance. The differences in the "what" and "how" of *karma* are sometimes quite pronounced. According to the Vedānta, for example, it is the *sukṣma-śarīra* ("subtle body") which transmigrates under the direction of Iśvara, the Lord, who bestows the fruits of action on the individual soul. For Buddhism, on the other hand, "rebirth does not mean that the soul bodily, as an identical individual essence, transports itself from one place to another. It only means that a new series of states is generated conditioned by the previous states." T. R. V. Murti, *The Central Conception of Buddhism* (London: George Allen & Unwin Ltd., 1955), p. 35.

[5] We are not suggesting here that Śaṁkara or other members of the Advaita school explicitly hold that *karma* is a "convenient fiction" (they, in fact, tend to affirm *karma* without any such qualification); we are concerned only to show that from the meta physical and epistemological framework of the Advaita, the status of *karma* as a "convenient fiction" logically follows. And our choice of working within the framework of the Advaita Vedānta is based on the following: first, in dealing with a doctrine such as *karma*, which is, as pointed out, essentially alien to Western ways of thinking, it is necessary to work within the dynamics of an Indian system in which it appears and to see first of all to what extent it is justified within that system (of concepts and values); second, the Advaitic system is generally recognized among Indian thinkers to be the most fully developed and influential of the Indian systems, especially with regard to its metaphysics, and therefore the status of *karma* can be clarified best from within it rather than from within any one of the other *darśanas* (systems).

[6] Cf. T. M. P. Mahadevan, *The Philosophy of Advaita* (Madras: Ganesh & Co., 1957), pp. 19 ff.

[7] Spinoza, *Ethics*, Part V, Prop. 21.

[8] It is true, of course, that the *rāja-yogins* claim that "by bringing the residual tendencies (*saṁskaras*) into consciousness [through concentration] (*saṁyama*) the knowl-edge of previous lives (*pūrva-jāti*) is obtained" (*Yoga-sūtra*, III. 18); however, the Advaitin does not

use this claim as a support for *karma*, and, even if he did, he would be faced with the difficulty, similar to that of "parapsychology" in general, of establishing new empirical laws of Nature on the basis of the "extra-sensory" perceptual experience of a privileged few. Until such time as a direct apprehension of previous life-states is obtainable in such a way that it can serve as confirming data for *karma*—insofar as *karma* involves both a causal principle and the notion of transmigration—*karma* must be- held to be undemonstrated. And it must also be held to be undemonstrable, insofar as the ability to obtain this data would seem to require a different kind of person—biologically, physically—than the man we know today. When one asserts empirical undemonstrability, it is understood that one is concerned with man as he now is, and not with man as he may conceivably evolve.

9 Swami Vivekananda says precisely the same thing when he writes, "That portion of Existence which is limited by our minds—the universe of the senses, which we can see, feel, touch, think of, imagine … alone is under law; but beyond it, Existence cannot be subject to law, because causation does not extend beyond the world of our minds. Anything beyond the range of the mind and the senses is not bound by the law of causation." *Karma Yoga* (Calcutta: Advaita Ashram, 1960), p. 73.

10 The Vedānta holds that the universal proposition (*vyāpti*) must be the conclusion, not of the inference, but of an induction by simple enumeration. Two things may be taken as universally related, on this model of induction, when in our experience there is no exception to their relatedness. And here it is clear that *karma* cannot even be a genuine *vyāpti*, for the consequences of moral action, as affecting the actor over a period of innumerable births, are largely unseen, and hence cannot be seen to be in uncontradicted relatedness to the actions. Induction, and hence ultimately inference, for the Advaita, depends on perception and can extend no further than drawing out the implications of the relations based on perception.

It is interesting to note in this connection that any so-called "Law of Nature" must for the Vedānta be a kind of "heuristic principle" or something which is "probable truth" rather than something which can be established as such by logic.

11 Cf. Samkara, *Brahma-sūtra-bhāṣya*, II. ii. 10.

12 Introduction to Śamkara, *Ātmabodha*, Swami Nikhilananda, trans. (Madras: Sri Ramakrishna Math, 1947), p. 35.

13 An example of an idea that would be rationally demonstrated within the framework of the Advaita might be the very statement that all truths other than "*Ātman-Brahman*" are necessarily partial, relative, and incomplete. This idea follows directly from the assertion of *Brahman* as the oneness that includes and transcends all sense-mental experience.

14 *Vedāntaparibhāṇa*, V. 1–2, S. S. Suryanarayana Sastri, trans. (Madras: Adyar Library, 1942).

15 *The Six Ways of Knowing* (Calcutta: University of Calcutta, 1960), pp. 240–241, 246.

[16] Cf. Śarhkara, *Gītā-bhāṇya*, XVIII.86.

[17] *Studies in Philosophy*, Vol. I (Calcutta: Progressive Publishers, 1956), p. 95.

[18] Commentary on *Māṇḍūkya-kārikā*, IV.73.

[19] In the Advaitic interpretation, the *jīvanmukta*, the man liberated in life, has completely destroyed all the acculumated effects of actions done in the past which have not yet borne fruit. This is called "*sanchita-karma*"; it is distinguished from *āgāmi-karma*, actions to be performed in the future, and from *prārabdha-karma*, actions done in the past which have already begun to bear fruit. *Prārabdha-karma* can never be fully obliterated; for the *jīvanmukta*, however, it merely runs out its course without affecting him. (Cf. *Brahma-sūtra*,III.iii.27; IV.i.5.)

[20] By "fiction" in this context, we do not mean a concept or theory which is necessarily false; rather, a concept or theory may be called a fiction when it is undemonstrable, when it is impossible to determine its truth or falsehood, or when, in the language of the Vedānta, it cannot be established by any of the *pramāṇas*.

[21] "There, so long as the nature of salvation is not definitely ascertained specifically, in whom would any desire for that rise up." Madhusūdana Sarasvati, *Vedantākalpalatikā*, R. D. Karmarkar, trans. (Poona: Bhandarkar Oriental Research Institute, 1962), p. 13.

[22] E.g., *Kaṭha Uponiṇad*, I.ii.2; *Chāndogya Upaniṣad*, II.17; *Bṛhadā raṇyaka Upaniṣad*,

[23] Śamkara, Introduction to the *Bśhadāraṇyaka Upaniṣad*, in Swami Nikhilananda, trans., *The Upanishads*, Vol. Ill (New York: Harper & Bros., 1957).

[24] E.g., the *Bhagavad-gītā*, Chap. VI, verses 37–41, which tells about what happens to the man who involuntarily falls away from the path of *yoga*.

[25] It is generally believed among Indian thinkers, not only that *karma* provides a solution to the problem of evil, but also that it does so in a manner superior to any other. The well-known difficulties of the typical "theistic" position—that it is unintelligible how an all-good and all-powerful God can permit evil—are acknowledged, and the typical "naturalistic" solution, which emphasizes the conditioning role of environment, that environmental factors more than anything else make for the disparity between individuals, is thought to be a mere transferring of the problem to a different place without resolving it as such.

[26] As suggested, however, this is, at least in theory, too mechanical an interpretation of *karma*, and is thus a misinterpretation. *Karma* does not dictate the precise nature of a future activity; it provides only the general tendency toward the performance of various activities. It is assumed, in other words, that the individual does have the power to choose his actions and to determine his own future.

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NOTES TOWARDS A CRITIQUE OF BUDDHIST KARMIC THEORY

Western Buddhology, the responsible scholarly study of Buddhist languages, history and ideas, is now more than a century and a half old. For most of that time scholars working in this field have been primarily concerned to understand and expound their sources, not to criticize or assess the views found therein, much less to make any attempt at deciding whether the central views of Buddhist philosophers are likely to be true statements of the way things are. There are good reasons for this restriction; before a given set of philosophical views can be assessed it must be understood, and in the case of Buddhism the gaining of such understanding has involved the collective philological labours of several generations of scholars and is still in many respects in its infancy. What is the case for the scholarly community as a whole is magnified for the individual working in this field; the effort involved in becoming competent in several Buddhist canonical languages and in becoming familiar with a range of philosophical ideas and preconceptions which are in many respects alien to one's own culture tends to mean that the Buddhologist's apprenticeship is long, his publications so clogged with jargon as to be inaccessible to any non-specialist, and his appetite for truth stifled by Sanskrit syntax and Tibetan declensions. There is the added problem that the Western intellectual who makes the study of Buddhism his avocation is likely to be, in some more or less well defined sense, a Buddhist; and the

dangers of making religious commitment the major motivation for scholarly study have been so amply illustrated by Christian history that they scarcely need rehearsing here.

The upshot of all this is that there has as yet been little or no responsible effort at assessing the truth-claims of Buddhist philosophy. There has been, and continues to be, much apologetic and polemic from both Christians and Buddhists, but little of this is of any philosophical value. The Christian version often tends to amount to little more than reviling Buddhism because it is not Christianity, which is somewhat like reviling a cat because it is not a dog. The Buddhist version is more likely to begin by denying that Buddhists make any truth-claims in the first place and then to continue by gently criticizing Christians for making truth-claims which are less true than those Buddhists supposedly do not make. The mid-point between these two extremes, usually adopted by mystically inclined Jesuits on the one hand and gnomic Zen adepts on the other (never, of course, by representatives of those traditions, Christian or Buddhist, which place a high value upon the ability of language to make true statements about things: e.g. Theravādin Abhidhammikas, Biblically centred neofundamentalists and so on) is to claim that of course there are no real differences between Christianity and Buddhism (or, for that matter, between either of these and Vedānta, Sufism, Taoism or what you will), and that the apparent differences are just that – apparent, to be dissolved in the higher (usually ineffable) unity of mystical experience.

There is no space here to subject any of these positions to the criticism they all richly deserve. The object of this paper is different: first, to suggst that most kinds of Buddhist philosophy do in fact make stateable and assessable truth-ciaims, and that those which do not are either incoherent or uninteresting, like the more extreme versions of Prasaṅgika Mādhyamika,[1] secondly, to suggest that the

time is now more than ripe for the Western scholarly community, and in particular the fledgling Western Buddhological community, to begin the enterprise of assessing these truth-claims. And third, to offer some notes towards such assessment in one key area of Buddhist philosophy – karmic theory. I do not, of course, wish to underestimate the difficulties of performing the task of assessing the truth-claims of a conceptual system of such a high order of complexity, especially one which originated in a culture radically different from our own. But there seems theoretically no reason why the task cannot be performed; truth is truth and nonsense nonsense, whether stated in Sanskrit, Tibetan or English.

One important presupposition behind this enterprise should be made clear at this point. This is the idea that a necessary condition for the truth of any conceptual system is that it be rational. Religious conceptual systems cannot escape from this requirement any more than can scientific, economic, sociological or other systems.[2] Of course, both 'rationality' and 'truth' are themselves complex ideas, and it can be no part of this paper to give them any extensive discussion. It will have to be sufficient to say that the enterprise of assessing the truth-claims inherent in any given complex conceptual system proceeds largely by falsification rather than verification; that if such a system is irrational either in the strong sense of being self-contradictory or in the various weaker senses of being contradicted by well-established data available to us on other grounds, or of failing to explain the data it was constructed to explain, and so on, then it is either false or useless; and that therefore – as we have already noted – rationality is a necessary condition for truth.[1] Without precisely defining all the ramifications of 'rationality', then, our approach in this paper will be to construct a number of propositions which are either explicitly stated or implied by Buddhist karmic theory. These propositions will then be tested by the

following four questions:[2] firstly, does the proposition in question exhibit logical inconsistency, self-referential incoherence, or any other variety of contradiction? Secondly, is the proposition in question either confirmed or falsified by any relevant well-established data available to us on other grounds? Thirdly, does the proposition in question provide an adequate and powerful explanation of the data it was constructed to explain? Fourthly, are there phenomena which lie within the relevance-range of the proposition in question with which it cannot cope? Clearly it will not be necessary to apply all of these questions to each derived proposition. The questions are organized in approximate order of decisiveness and ease of application: it should be fairly easy to decide whether a given proposition is self-contradictory, and if it should turn out to be so then nothing more needs to be .said; it is necessarily false. On the other hand, if a given proposition gets by both questions one and two it may often be difficult to decide whether it provides an adequate and powerful explanation of the data it was constructed to explain or just what its relevance-range should be.[3] It is here that the sensitivity and creativity of the individual philosopher come into play.

To return to Buddhist karmic theory. Karma is of central importance for the whole of Buddhism; its functions are many and its links to other areas of Buddhist doctrine proliferate to such an extent that a full consideration of all the ramifications of Buddhist karmic theory would amount to a complete analysis of Buddhism *per se*. That is not what I intend to undertake here. Neither do I intend to undertake the complex expository exercise of indicating how and why Buddhist schools differ from each other in this area; such an exercise would be of interest to the Buddhologist but not to the philosopher, and the intent of this paper is largely philosophical. It should be noted, though, that there are significant and substantial

differences between the schools on such topics as the nature of the agent who both performs acts and enjoys their results; the mechanism by which karmic effect operates; and the nature of action itself. Such differences indicate that this area was not free of problems for Buddhist theoreticians, and points to an area of weakness in the wider conceptual framework we call 'Buddhism'.[1] Leaving these issues aside I wish to distinguish firstly the *major* functions that karmic theory serves within Buddhism as a whole, and then to discuss the significant *truth-claims* that are associated with these functions, using as a framework for assessment the four questions already stated. Before setting out it should be stressed once again that everything said in this paper will move on a fairly high level of generality, and that not all the statements made about the functions of, and truth-claims involved in, karmic theory will be applicable to the views of all Buddhist philosophers who have worked in this area. Nevertheless, enough of what follows applies to enough of what is said by Buddhists to be useful.

To begin with, then, I wish to distinguish three major functions that karmic theory serves in Buddhism. The first is to act as an explanatory cosmogonie hypothesis; that is, for Buddhists what created the material universe is karma, the volitional acts of sentient beings.[2] The second function of karmic theory is to act as an explanatory hypothesis for the varied states and conditions of sentient beings; that is, karmic theory claims to explain why you are neither a worm nor a Buddha and why worms are different from both Buddhas and you. Further, restricting our enquiry to mankind, it claims to explain why some members of this class of sentient beings are born prosperous, healthy, intelligent and creative, and why others are born deformed, crippled and full of hatred, destined to die in a variety of painful ways before they reach maturity. The third function of karmic theory, and perhaps the most important for Buddhists in

practice, is that of acting as a means of social control in Buddhist societies. That is, it explains why the layman ought to support the monk and why he ought to live a moral life; it explains why the monk should keep the manifold precepts of the *vinaya*, the Buddhist code of monastic discipline, and why he ought to meditate and perform acts of selfless generosity towards other beings. To put this another way: karmic theory has the dual function of acting as a powerful mechanism for regulating and enforcing the essentially hierarchical structure of Buddhist societies and of providing a rationale for Buddhist soteriological practice, which in turn depends largely upon one's place in the hierarchical society. It should be clear that there is a considerable overlap between these three functions of Buddhist karmic theory. The classification offered here is only for heuristic purposes and is not meant to be taken too seriously; neither is it offered as a complete account of all the functions served by karmic theory in Buddhism, mereely as a suggestion about the most important ones.

We should now turn to a consideration of the significant truth-claims associated with these three functions. To take the cosmogonie function first: for those schools of Buddhism which accept the reality and externality of the material universe,[1] karma is stated to be the means by which such a real external universe came into existence. If we accept the standard definition of karma as 'volition and that which is effected by it',[2] and realize that volition can be properly predicated, according to Buddhist theory, only of sentient beings, or, to put this in terms with which Buddhists would be more at home, volition is a momentarily existing event which can occur only within a stream of momentarily existing events which has the characteristic of sentience, then (at least) the following propositions can be formulated as intended or implied by this first function of Buddhist karmic theory:

P$_1$: The material universe (i.e. everything that is not sentient) has as necessary and sufficient condition for both its existence and its nature the volitional actions of sentient beings.

P$_2$: The origin of this material universe occurred at a particular time *T*, at which time sentient beings already existed.

These are not the only propositions that could be derived from the first function of Buddhist karmic theory previously outlined. But they do indicate an important area wherein truth-claims are made by Buddhist karmic theory, so we may begin by applying our four questions to these propositions. Before doing so, though, it should be noted that that for Buddhists karmic theory is never concerned with the origin of sentience or volition, but only with the origin of the material universe. The origin of sentience is not a problem for Buddhists because of their basic assumption[3] that the power or causal efficacy of karma is without beginning. The point of this basic belief cannot be discussed here, but it is important to realize that the two questions of the origin of the material universe and the origin of sentience are quite separate for Buddhists, and we are dealing here only with the former.

In applying our first question to P$_1$ and P$_2$, that of logical consistency, it seems clear that the propositions as they stand do not exhibit any of the characteristics of self-contradiction. They cannot be rejected on that ground.

The application of our second question to these propositions yields rather more interesting results, for we do have relevant well-established data available to us which bears on these issues. Scientific investigation of the nature and age of our material universe leads us to the reasonably well-established conclusion that it is several thousand million years old, and that life forms capable of volitional action did not appear anywhere in it until at least several

hundred million years subsequent to its origin. Leaving aside the problem that we have as yet no well-established theory as to the way in which the material universe came into being, we must note that P_2 is falsified by this scientific data, and that Pi is also falsified if we reject (as we should) the idea of retroactive causality. Further, and negatively, we have no good reason to believe that volitional action can affect the structure of the material universe in other than superficial ways, much less that such action could havegiven rise to the material universe *in toto*. The conclusion would seem to be that both P_1 and P_2 are false. The Buddhist may reply: but there are sentientbeings existing in other universes of which you know nothing, and it may further be the case that such beings existed prior to the origin of this particular material universe and that it was their volitional action which gave rise to it. To which the answer can only be: it is not incoherent to suggest such a thing,[1] but apart from the witness of the Buddhist sacred texts we have about as much reason to think that such is the case as we have to think that the origin of the material universe is the work of the Great Pumpkin. The conclusion must be that the well-established data to which we have access from scientific study of the nature of the universe makes it extremely likely that both P_1 and P_2 are false, and therefore Buddhist karmic theory *per se*, the conceptual system of which these propositions are a part, must be concomitantly weakened.[2]

The second function of Buddhist karmic theory that we distinguished was that of acting as an explanatory hypothesis for the varied states and conditions of sentient beings. We should now try to formulate the truth-claims inherent in this function. The following are likely candidates:

P_3: Each individual undergoes more than one life.

P$_4$:   The parameters of possibility for any given individual – i.e. whether he will be crippled or healthy, intelligent or stupid, tall or short, but not the details of what he will do or achieve – are set for him at the instant of conception and are a direct result of his actions in previous lives.

P$_5$:   There is no undeserved suffering.

Once again, more propositions than these could be derived, and those given above could be phrased differently. Nevertheless, propositions P$_3$–P$_5$ bring us close to the heart of Buddhist karmic theory, showing its intimate and necessary connection with some kind of rebirth doctrine. In an attempt to do justice to each of these propositions we shall treat them individually.

Let us first apply our questions to P$_3$: is this a self-contradictory proposition? The answer depends largely upon the definition of 'individual' used; it seems clear that if we take 'life' to mean simply that period from birth (or, as Buddhists would prefer, from conception) to death, and if we take 'individual' to mean something like 'an entity characterized by memory, continuity of physical identity, recognizable character traits...', then P$_3$ is incoherent simply because part of our definition of what it is to be an individual is that such an entity should have continuity of physical identity, i.e. the same body, and we know that after death the body rapidly ceases to exist in any recognizable form. But this may be loading the conceptual dice too heavily; although it is true that there are severe problems with the idea of 'the same person' inhabiting successive bodies – at what point is such an individual no longer 'the same person'? – and that we have not yet arrived at any satisfactory definition of personal identity, we may allow that the proposition 'each individual undergoes more than one life' is not precisely self-contradictory. There is the further problem that what Buddhists mean

by 'individual' and what we tend to mean by it are not the same. For a Buddhist, an individual person is an ongoing stream of momentary events, usually divided into five 'heaps' or *skandhas* which have a merely illusory unity and permanence, and on this view death is merely one more event in the continuum, of no inherently greater importance than a night's sleep. Contra Wittgenstein, for the Buddhist death precisely is an event in life and is lived through because it is simply a caused event in a given continuum which itself causes the next event. So for the Buddhist to assert P_3 is to assert that every continuum continues.

Bearing these considerations in mind the Buddhist might wish to reformulate P_3 in the following terms:

> P_3': Any given caused continuum of momentary states exhibiting sentience (i.e. an 'individual') does not cease with death.[1]

By framing the proposition in these terms the Buddhist points out that the continuity across lives indicated by our P_3 is merely a caused continuity, and that any tendency to postulate a more substantial 'something' which dies and is reborn is merely some variety of the personalist (*pudgalavāda*) heresy.

We may allow, I think, that P_3', like P_3, is not precisely self-contradictory though from it the following questions arise: Buddhist texts – and Buddhists – frequently talk as though they mean to assert P_3 rather than P_3'. This is especially often the case when Buddhist karmic theory is being used as a means of social control, to explain to people why they should follow the Buddhist path and why they should observe the five basic precepts of Buddhist ethics. It is easy to see why: if you want to persuade someone that killing is not a good idea because of the suffering undergone by the killer as inevitable retribution, then P_3 is a much more powerfully persuasive tool than

P$_3$'. A strong sense of identity across lives – much stronger than mere causal continuity – is required when Buddhist karmic theory is used as a means of social control. But when philosophically pressed, or when thinking about the fundamental *anātman* doctrine, Buddhist philosophers tend to retreat to P$_3$'. On this view P$_3$ becomes an *upāya*, an expedient to educate those who cannot understand or assimilate the implications of P$_3$', and an expedient which is ultimately untrue. Leaving aside for the moment the pedagogical, ethical and philosophical implications of using falsehood as an educational tool, we should look a little more closely at whether, and to what extent, P$_3$' really asserts anything different from P$_3$.

We have seen that P$_3$' asserts that continuity of identity across lives is merely on the level of causal continuity. It is important to realize that for Buddhists, exactly the same is true of continuity of identity within a single life. That is, for any given individual, to say that he is 'the same individual' means simply that each momentarily existing state of affairs within the continuum labelled 'individual *x*' is caused by the immediately preceding momentary state of affairs within that same continuum, and itself causes the immediately subsequent momentary state of affairs within that same continuum. There is no space in Buddhist theory for any stronger sense of personal identity either within one life or across many. The Buddhist assertion of P$_3$' rather than P$_3$, then, simply says that the nature and extent of personal continuity and personal identity through many lives is qualitatively no different from the nature and extent of personal continuity and identity within one life. But this is clearly not the case. Even for a Buddhist, a particular continuum (i.e. 'individual') has certain characteristics in a given life (the same body, continuity of memory and so on) which are lacking after that continuum has been interrupted by death. The events in the continuum after death (i.e.

'the reborn person') lack so many of the characteristics of the events in the continuum before death (i.e. 'the person in his previous life') that it is very much a moot point whether it makes any sense to refer to the continuum before death and the continuum after death as 'the same' except in so far as they are causally linked. We may note that this is a problem of which the Buddhists themselves have been, and are, acutely aware.[1] Without memory, continuity of physical identity, continuing character traits and so on, does it really make any sense to talk of 'the same individual' undergoing a multiplicity of lives?

It seems, then, that the assertion of P_3' rather than P_3 does not save the Buddhist from his dilemma. For P_3 to be both true and useful as a means of social control a much stronger concept of personal identity must be used than the standard no-self doctrine will allow. P_3 must therefore be rejected as inconsistent with other significant Buddhist doctrines as well as on the ground of its incoherence when formulated in accordance with Buddhist views of the nature of personality.[1] For P_3' to be true, moreover, it must be the case that the kind of continuity perceptible and experienceable in a single continuum through many lives is essentially the same as that perceptible and experienceable in a single continuum within one life. And yet it seems clear, as we have seen, that this is simply false: we have many criteria for personal identity which apply within one life and which do not apply across lives – and in practice Buddhists agree that this is the case. Thus, by our second criterion for rationality, that of whether we have well-established data available to us on other grounds which would falsify the proposition in question, P_3' is to be rejected. We have also noted that if $?_3'$ is true, then Buddhist karmic theory as a whole cannot effectively be used in one of the major ways in which Buddhists do in fact use it – as a means of social control. Neither P_3, asserted by unreflective Buddhists or by those

versed in the dialectics of *upāya* and the two-truth system, nor P_3', asserted by Buddhists in philosophical mood, will stand criticism. Both must be rejected as false.

One of the standard moves at this point is to argue that we know P_3 to be true because the Buddha, and all enlightened men, have directly perceived it to be the case. The canonical descriptions of the Buddha's enlightenment experience tell us that he not only remembered all his own previous lives but also saw, with his divine eye, the continuous rise and fall, death and rebirth, of all sentient beings, and was moved by the sight to great compassion. Some kind of atemporal perception seems to be what is envisaged, and the impression one gets from the texts is that in enlightenment one stands altogether outside the temporal process and can perceive simultaneously all kinds of events that are widely separated in time. While we have to admit, I think, that such a perception is a theoretical possibility, argument from it cannot bear very much philosophical weight. It does little to answer the fundamental objections to P_3 and P_3' which we have noted; no matter what the Buddha may or may not have perceived, if his claimed perceptions give rise to incoherent propositions then the propositions, if not the perceptions, must be rejected as false.

One more argument may be noted: it is suggested by many contemporary Buddhist (and Hindu) apologists that in fact there are many cases where continuity of memory – one of our important defining characteristics of personal identity – does survive death, and the individual concerned can remember his former life. A casual reader in the annals of the Society for Psychical Research will soon see that there are indeed many more or less well documented cases of such memory. There is no space in this paper to treat this issue in detail,[1] and I shall simply note two points: first, the number of well-

documented cases of this kind of thing is very small indeed, and may be reducible to zero when due allowance for gullibility and wishful thinking has been made. Secondly, there are a number of other hypotheses – for example telepathy, neo-Jungian theories of a collective unconscious whereby the memories of the race are available to any individual, and so on – which can be used to explain the cases that may survive critical examination, and which have rather fewer conceptual problems associated with them than does karmic theory in either its Hindu or Buddhist forms.

We may conclude that P_3, and its variant P_3', while not actually self-contradictory, are to a greater or lesser extent incoherent, depending on one's definition of personal identity and the prominence given to other significant Buddhist doctrines; that Buddhists themselves have had severe problems in formulating and defending it; that none of the standard Buddhist arguments for the truth of this proposition deal with its real problems; and that the falsity of P_3 and P_3' means that the conceptual system of which it is a part – Buddhist karmic theory – is drastically weakened.

Our next derived proposition, P_4, is to a large extent parasitic upon P_3, the falsity of which has already been demonstrated. If P_3 is false then it must also be false to say that the parameters of possibility for any given individual are dependent upon the actions he performed in a previous life. It is important, nevertheless, to note several things about P_4, if only to correct some frequently raised objections to Buddhist karmic theory which are not well grounded. It is important to be aware that Buddhist karmic theory is not deterministic in the strong sense that everything one does is strictly governed by everything one previously did. It is only the parameters within which action is possible that are determined by karmic effect in Buddhism. Things like personal appearance, physical defects, mental capacity,

place of birth, social class, moral character of one's parents – all these are determined by karmic effect. But within these parameters it is still possible to act well or badly, to make the best possible use of what has been determined for one or to make things still worse by bowing to one's limitations. So Buddhist karmic theory is certainly not a strict determinism, and is thus not open to many of the philosophical objections which can be levelled against determinism. P_4 is false in so far as it is dependent upon P_3, but it is possible to accept the first part of it which describes the determining of an individual's parameters of possibility at conception, as true, confirmed rather than falsified by well-established data gained from other sources (i.e. scientific investigations into the functions of DNA), and as an adequate and powerful description of the dynamic tension between freedom and necessity observable in human existence. But it must be stressed once again that the reason suggested by Buddhist karmic theory for this dynamic tension is false.

Our next proposition, P_5, states that there is no undeserved suffering. If we apply our first question to this, it seems clear that the proposition is not logically contradictory or incoherent. It is, for example, possible to hold it independently of P_3/P_3' (though Buddhists do not in fact do so), and there seem to be no other reasons for judging it incoherent.

In order to apply our second question to P_5 – that of whether we have well-established data from other sources which might confirm or falsify the proposition in question – we need to clarify the meaning of 'undeserved suffering'. If we mean by 'deserved suffering' any suffering which is directly and causally linked to some previous action of the sufferer (which is what Buddhists mean by it), then we do have well-established data from other sources which at least makes the truth of this proposition rather unlikely. It is a matter

of observable fact that newly born or very young children sometimes undergo intense suffering; in such cases it is difficult to see how there can be a direct causal link between the action of the child and his suffering, especially when the suffering is caused by natural disaster or human cruelty, both outside the knowledge and control of a young baby. So in the sense of 'deserved' mentioned previously, the intense sufferings of a young child cannot be deserved – unless, of course, they are the result, as the Buddhist would say, of things done in a previous life. And this brings us back to P_3/P_3' which we have already seen to be false.

There are other senses in which 'deserved suffering' could be understood; but as none of them are relevant to the Buddhist view we shall not discuss them here. We may conclude that unless P_5 is combined with P_3/P_3' it is false because contradicted by observable data; and if P_5 is made dependent upon P_3/P_3' it is false because based upon a false proposition. We may also note in passing, putting aside our philosophical guise for a moment, that to most Western eyes, and certainly to Christians, P_5 is morally reprehensible, even inhuman. But this is a different argument.

We must now turn to the third and final function of Buddhist karmic theory which was distinguished at the beginning of this paper, that of acting as a mechanism for social control and a rationale for soteriological practice. There are many truth-claims inherent in this function of karmic theory, from among which we shall consider the following two:

P6: A morally qualified volitional act always has a morally equivalent effect upon its agent.

P_7: The effect of morally qualified volitional actions directed at other sentient beings is partially dependent upon the status of

the recipient of the act.

Once again, to be treated fully each of these propositions should be given a full and detailed analysis for which there is no space here. All that can be done is to indicate the main problem areas. To begin, we should note that there is a prima facie contradiction between P6 and P_7. The first states that all morally qualified volitional actions necessarily have a morally equivalent effect upon their agent, and the second that the karmic effect of any such action is at least partially dependent upon factors outside the control, and often the knowledge, of the agent, and therefore independent of his actions. Both propositions would be assented to by thinking Buddhists, and most would not see a contradiction between the two. This is because part of what it is to be a 'morally qualified volitional action directed at another sentient being' consists in the status of the sentient being who is the object of the action. Put differently, karmic effect is dependent in such cases not only upon the agent's intentions and actions, but also upon the recipient's status and character.[1] We need to unpack a little more fully what is meant by 'morally qualified volitional action' in Buddhism: this phrase indicates three of the variables which govern the karmic effect of any given action. First, in order to generate karmic effect a given action must be morally qualified, which means either good or bad. In Buddhist karmic theory there is a class of actions (the processes of the autonomic nervous system and so forth) regarded as morally indeterminate, the these have no karmic effect other than their immediate causal effect upon subsequent physical sensations, postures and so forth. To be morally qualified, then, means to be either prescribed or prohibited by the Buddhist ethical code. Secondly, volition is (for most Buddhist schools) a necessary part of any action which bears karmic fruit. If I step on a bug deliberately the action will bear karmic fruit; if accidentally, it will not. Thirdly, moral qualification and volition must

be accompanied by action if karmic effect is to pertain. I might lay plans to murder my wife, purchase arsenic from the drugstore and put it in her coffee, only to discover that I bought a bad batch of arsenic and my wife suffers no ill effects. In such a case the karmic effect that results will be different from that which would have resulted if the arsenic had been effective and my wife had died (though there is equivocation about this in some schools). The fourth and final variable which governs the karmic fruit of a given action is indicated by P_7, and has already been mentioned: the status and character of the recipient of a certain class of morally qualified volitional actions is relevant: suppose I give food to a wandering monk one day and then to a disreputable beggar the next. Assuming that the other variables are equal I will amass more merit by my gift to the monk than by my gift to the beggar because the monk is a worthy recipient of my gift and the beggar is not.

It seems clear, then, that as all these variables have to be taken into account it is going to be very difficult in any given instance to calculate the karmic effect of any particular action; no one – except of course a Buddha – is likely to have enough data at his disposal to make the necessary calculations. This should be further warning that Buddhist karmic theory is no open-and-shut determinism wherein it is possible to calculate with precision the karmic accounts, as it were, of any given individual. Things are much more complex than that, and Buddhist theoreticians themselves tend to retreat into talk of the mystery of karmic effect when pressed for detail.

Having attempted some preliminary clarification of the key terms in P6 and P_7 we should now turn to an analysis of their truth-value by applying our four questions. First there is the issue of consistency and coherence: it seems clear that these propositions, taken separately or together, do not enshrine a contradiction, once we are

clear about what is meant in Buddhism by 'morally qualified volitional action'. They are not, therefore, to be rejected on those grounds alone.

Our second question was whether or not there exists any well-established data available to us from other sources which might confirm or falsify the propositions in question. At first sight it seems that on the grounds of common sense and observation alone P6 must be false: surely we know very well that we frequently perform morally qualified volitional acts which do not seem to have any quantifiable effect upon us. But, given the complexity and in most cases unknowability of the variables concerned in determining karmic effect, this is not a decisive argument. It is easy for the Buddhist to reply that it simply seems as though a given morally qualified volitional action is without effect, but that if one had access to the whole picture one would see that such is not the case. This move is open to the Buddhist even without retreating to P_3/P_3', which we have already seen to be false. A single life is more than long enough for us to forget many relevant factors which might help us to determine, in karmic terms, the causes of apparently fortuitous suffering or good fortune. In practice, though, and certainly in extreme cases, the Buddhist does tend to retreat to P_3; one feels, for example, that this is what the Buddhist karmic theoretician would do upon reading the Book of Job. The point remains, though, that we cannot reject either P6 or P_7 on these grounds alone.

Our third question was whether or not the proposition in question provided an adequate and powerful explanation of the data it was constructed to explain. The problem in applying this question to P6 and P_7 is that these are essentially propositions designed to exhort people to do things – like give to monks and refrain from killing sentient beings – and only secondarily explanatory statements. It

could be claimed that these propositions explain why the Buddhist soteriological path works: that is, why, if you give to monks you amass enough merit to eventually get reborn as a monk yourself, and why it is that when that stage is reached, if you keep all the precepts of the *vinaya* code and meditate diligently you will ultimately attain nirvāṅa. But this is an explanation which assumes what it is trying to explain: it assumes that the Buddhist path does bring you to nirvāṅa, and then provides a rationale for that assumption. It seems, then, that P6 and P_7 do not function as adequate and powerful explanations because they were not originally designed as explanations, and when one attempts to assess them as such it becomes necessary to deal with such questions as the efficacy of Buddhist soteriological practice, the problem of whether the Buddhist path does in fact get you to nirvāṅa and the associated issues of whether nirvāṅa is a desirable place to get to and what Buddhist soteriological method would look like without karmic theory. All these issues are unfortunately far beyond the scope of this paper.

Our fourth question was that of whether there are phenomena within the relevance-range of the proposition in question which cannot be effectively handled by it. We have already noted that it certainly seems as if there are: those morally qualified volitional actions which, as far as we can tell, produce no karmic effect. But we have also seen that the Buddhist can preserve the possible truth of P6 and P_7 by making them compatible with any possible state of affairs; all apparent exceptions can then be explained away as manifestations of the mystery and complexity of the mechanism by which karma is put into effect. In extreme cases, as for example in the instance of Job's rather distressing experiences, this begins to sound somewhat implausible. We may conclude, rather indecisively, that P6 and P_7 cannot be shown to be false, but this is so only because they

are sufficiently vague to be compatible with any state of affairs whatever, and thus devoid of explanatory power.[1] Moreover, inasmuch as Buddhists base their arguments for P6 on P_3 or P_3' – which they very frequently do – P6 (and by extension P_7) is also false.

We have now concluded our examination of some of the significant truth-claims associated with the three major functions of karmic theory in Buddhism. It must be stressed once again that the discussion in this paper has not been intended to provide anything approaching a complete account of the functions of, or truth-claims involved in, Buddhist karmic theory. A great deal more could be said. Nevertheless, some of the major problems have been pointed out, and if the arguments offered here are good then the conclusion is clear: the empirical falsification of P_1 and P_2, the partial incoherence of P_3 and its variant P_3', the falsity of P_4 in so far as it depends on P_3/P_3', the empirical falsification and moral repugnance of P_5, the vacuousness of P6 and P_7 – all these mean that Buddhist karmic theory as expounded in the major theoretical works devoted to it must be false. This is not to say that no version of Buddhist karmic theory can be true; new attempts to construct and expound such a theory are to be looked for and welcomed, but anyone who wishes to assert the truth of normative Buddhist karmic theory has to at least deal with these objections. Finally, we should note that the problematic nature of Buddhist karmic theory as it presently stands should pose many urgent questions for Buddhists, and raises the further fascinating question of what Buddhism without karmic theory might look like.

[1] The thesis that Prasaṅgika Mādhyamika is both uninteresting and incoherent – at least in its Nāgārjunian form – is clearly not uncontroversial. There is no space to defend it here; it will have to suffice to say that any conceptual system which creates an unbridgeable gulf between language and reality runs the risk of emptying even assertions about emptiness of meaning.

[2] To cry with a Tertullian or a Kierkegaard *credo quia absurdum* solves no problems; why then believe one absurdity rather than another, or why not, with Lewis Carroll, make it a habit to believe six impossible things before breakfast? More rationally and more interestingly we should say with Anselm *credo ut intelligam*.

[1] Not, of course, a sufficient condition. Many rational conceptual systems have the disadvantage of being false. But there is no space here to explore further the asymmetry between rationality and truth.

[2] These questions are freely adapted from the axioms of assessment developed by Keith Yandell in 'Religious Experience and Rational Appraisal', *Religious Studies*, x, pp. 173–87. My grateful thanks are due to Professor Yandell for his encouragement and stimulus in the writing of this paper.

[3] Yandell, *op. cit.* p. 186.

[1] A good introduction to the major differences between the Buddhist schools on this issue may be found in Etienne Lamotte's 'Le Traité de l'Acte de Vasubandhu', *Mélanges Chinoise et Bouddhiques*, iv (1935–6), 151–263. Standard Buddhist discussion of the problem may be found in the fourth chapter of Vasubandhu's *Abhidharmakośabhāsya*, and in the same author's *Karmasiddhiprakaraṅa*.

[2] *Abhidharmakośa*, 4.1.

[1] Theravāda, Vaibhāṣika and most other so-called Hīnayāna schools.

[2] cetanā tatkṛtaṁ ca tat. *Abhidharmakośa* 4.1 c–d.

[3] Also properly basic in Plantinga's sense. Cf. Alvin Plantinga, 'Is Belief in God Properly Basic?', *Mous*, xv (March 1981), 41–51.

[1] And this is pretty much what Buddhists do suggest with their system of multi-layered universes, parallel worlds, and periodic emanations of the physical universe from a state of quiescence. Cf. *Abhidharmakośa*, ch. 3, and the interesting refutation of the view that the material universe was created by God in the bhāṣya ad. 2.64.

[2] The Buddhist would further argue that direct perception of these and other realms, and of the sentient beings in them, is available to anyone who wishes to undertake the necessary meditative disciplines. There is no space here to enter upon the vitrues and problems of the argument from *yogipratyakṣa* – the perceptions of the spiritual virtuoso. We shall simply note that this is a dubious argument because of the tremendous variety of – often incompatible – systems witnessed to by the perceptions of spiritual virtuosi from different times and different cultures.

[1] This proposition leaves out of account what happens when nirvāṅa is reached.

[1] There are extensive and acrimonious debates to be found in Buddhist philosophical literature on the nature of the continuity between the agent (*kartṛ*) of an act and the enjoyer (*bhoktṛ*) of its result. A good summary may be found in the *Kartnasiddhiprakaraṅa*.

[1] It should be noted that it may be possible to make P_3 coherent by asserting a rather stronger concept of personal identity than Buddhists – at least in their orthodox moods – are willing to do. Thus if, for example, the theory states that the reborn individual has the possibility of memory of previous lives, then we do have at least one criterion of personal identity and P_3 begins to make sense. It would probably still have to be rejected on the ground of implausibility, but no longer on the ground of incoherence. This move – of asserting a strong sense of personal continuity and identity through many lives – is available to Hindu theoreticians, and is also often made by Buddhists, though for the latter it can only effectively be made at the expense of the *anātman* doctrine.

[1] John Hick has treated some of the issues in *Death and Eternal Life* (London: Collins, 1976) and see also the many works of Ian Stevenson, e.g. 'Reincarnation: Field Studies and Theoretical Issues' in *Handbook of Parapsychology*, ed. Benjamin B. Wolman (New York: Van Nostrand Reinhold, 1977), pp. 631–63.

[1] This is stated explicitly infrequently in Buddhist texts, but cf. *Abhidharmakośabhāṣya* ad. 4.4.

[1] Where is the Antony Flew among Buddhist philosophers to demand that karmic theory be in principle falsifiable?

INHERITED RESPONSIBILITY. KARMA AND ORIGINAL SIN *

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My aim in this paper is to show how it is possible that we can:

(i) inherit responsibility for what our cultural ancestors have done;

(ii) pass on karma to others who will live in the future; and (iii) be born in a state of original sin. My method will be to sketch how these three doctrines can be explained using the reincarnation thesis which I reject, and then to offer a speculation in which X's being a reincarnation of person Y is replaced by X's being partly constituted by participation in a collective entity which contains Y as an earlier stage. The result will then provide speculative reconstructions of the three doctrines.

1. THE ROLE OF PHILOSOPHICAL SPECULATION

To speculate is to present a hypothesis without asserting it to be true, but merely to be something which 'for all we know' might be true. A speculation should, however, be defended against objections, including Ockhamist ones, which if successful would provide good grounds for believing the speculation false.

Philosophical speculation may be used, as in this paper, to answer 'How is it possible?' questions, such as the Kantian 'How is a priori knowledge of synthetic truths possible?' or, in this paper, 'How is

original sin possible?' Asking such a question is not an expression of curiosity. Rather, the questioner implies a defeasible presumption against the occurrence of the item in question (eg, original sin). Querying its 'possibility' suggests that the occurrence of the item in question fails to cohere with accepted accounts of the nature of things.

One response to 'How is it possible?' questions is that the item in question indeed fails to cohere with accepted accounts of the nature of things, and so much the worse for the accepted accounts. If like Tertullian and Kierkegaard you have a penchant for paradox, then you could express this by saying that the item in question is not possible but still happens. But in contemporary philosophical English we would just say that it was supernatural. This paper is, however, written within the scope of Antisupernaturalism (which is implied by, but does not imply, Naturalism). More specifically, I shall not dismiss the defeasible presumption implied by a 'How is it possible?' question. Instead I aim to defeat the presumption by offering philosophical speculations which show how the item in question is 'possible', that is, coherent with accepted accounts of the nature of things.

2. THE REINCARNATION ACCOUNT OF INHERITED RESPONSIBILITY, KARMA, AND ORIGINAL SIN.

My philosophical speculation involves a replacement for reincarnation. But why not rely on reincarnation itself? As a preliminary, then, I shall discuss whether inherited responsibility, karma and original sin can be defended using the hypothesis that we have many lives which are but stages of the one individual.

People have, I say, obligations to the descendants of those whom their ancestors wronged. Readers will think of their own examples, but I shall consider the obligation which those of us of European descent have to those of us who are Aborigines.[1] I often hear it said that these obligations are precisely the same as to any other disadvantaged group. Yet intuitively there seems to be a difference: retributive justice, not merely distributive justice needs to be satisfied with respect to the Aborigines. But how can this be? Why should I be responsible for what others have done?

Sometimes it is said that people share responsibility for those wrongs which they knowingly benefit from. Perhaps that is so, but it does not explain my inherited responsibility towards the Aborigines. For a case can be made for saying that their dispossession and exploitation has been, on balance, of harm to Australians of European origin. The strength or weakness of this case seems quite irrelevant to my current responsibility.

Reflection on our dependence on society with its history enables us to reformulate the suggestion that we are responsible for the wrongs we have benefited from. Perhaps the benefit is *existential* in that the sort of person I am would not have come about had history differed significantly. So I benefit from the exploitation of others not by living the so-called good life, but by existing at all as the sort of person I am.[2] That, does not, however, explain my share of responsibility towards the descendants of those whom my ancestors wronged. For they too have derived the benefit of existence from the historical context of their lives. But for their ancestors' dispossession and exploitation by the British colonialists, the Aborigines would not exist as the sort of persons they are. For they, partly constituted as they are by their matrix of social relations, could no more have been brought up in a pre-colonisation Aboriginal society than I could have.

Something more radical is required, I suggest, if we are to capture the intuition that we share responsibility for what our ancestors have done. There must be some analogy between it and the responsibility of an elderly person for some crime committed in youth. To be sure the person will have changed, and might well have truly repented. But there is still a responsibility. Let us suppose, for instance, that a famous and wealthy doctor who spends time and money looking after street kids had, thirty years previously, cheated relatives out of all they owned. The doctor is a changed person. Nor does it matter if the cheated relatives are less badly off than the street kids. We judge that restitution should be made. Sharing in the crimes of our ancestors must be like that if it is to be a matter of retributive justice rather than a rhetorical trick intended to ensure distributive justice.

There is, then, a genuine problem in explaining how it is possible that some of us should be responsible for those whom our ancestors wronged. The obvious solution to this problem is an appeal to reincarnation. If we are indeed born repeatedly, then my responsibility for what was done in previous generations might be quite literally my responsibility for what I have done. But what if we discovered that the cultural (and genetic) descendants of the ones who were wronged were the reincarnations of those who did the wrong, and vice versa? My intuition, for what it is worth, is that this might lessen but would not entirely remove responsibility for what our ancestors did. If I am right, then reincarnation, even if otherwise acceptable, does not underpin our intuitions about inherited responsibility.

I now turn to karma. This is, I submit, to be defined contextually in terms of the Law of Karma. In any case it is the latter with which I am concerned. The Law of Karma, in the form I find most plausible, states that 'as you sow, thus you shall reap': wrong attitudes and intentions result in sorrow and/or vice; right attitudes and intentions

result in joy and/or virtue, where virtue is something positive, not the mere absence of vice. This is to be thought of both as a law of moral psychology and as a principle of retributive justice. I go on to suggest that we can choose between sorrow and vice and choose between joy and virtue. By accepting suffering we ward off the vice which would otherwise result from the law, and so exhibit the intentions and develop the attitudes which result in joy and/or virtue. By choosing virtue rather than joy when there is a choice we likewise develop the attitudes which in result in more joy and/or virtue.

If the Law of Karma was merely the statement of a tendency it would be an unproblematic rough generalisation in moral psychology. But it appeals largely as a principle of retributive justice. It is, however, contrary to experience that good and bad attitudes or intentions result in *commensurate* joy (or virtue) and suffering (or vice) in a given lifetime. The Law of Karma is therefore associated with the doctrine of reincarnation: eventually the attitudes and intentions will bear the appropriate fruit.

I now turn to what is perhaps the most difficult of the three doctrines, namely original sin. This doctrine is that we are in some sense guilty because of what was done by our ancestors in the past. And we have inherited the tendency to do more wrong as a result of this past wrong-doing. Even if the notion of sin is separated from moral guilt, and defined as not being in the proper relation with God, it is both strange and unfair, so it seems, that we have inherited these faulty relations with God, which threaten to prevent us ever coming to enjoy the infinitely great good of the beatific vision.

Although the doctrine of original sin is part of a tradition which has often been hostile to reincarnation, it is possible to give an account of it in terms of reincarnation. And, to dramatise this account, let us take the doctrine in its most traditional form, and

suppose—evolution not being gradual—that we are all descended from two first human beings, Eve and Adam. The reincarnation account would be that we are all reincarnations of one or other of our first parents. Such reincarnation would not be a matter of strict identity, for fission would have occurred with billions of us being reincarnations of just two people. But if all that is involved in our survival from one day to the next is just the non-accidental non-artificial ensurance of psychological continuity, then an account of reincarnation is simpler if we permit fission, than if we exclude it. It is then a purely verbal dispute whether survival in another Earthly life counts as reincarnation even if fission into several new lives occurs. I stipulate that it does.

Probably we do not have firm intuitions concerning responsibility where there has been fission into several individuals. Nonetheless it is not implausible that a deliberate turning away from God by our first parents, of whom we are reincarnations, would have much the same consequences as a deliberate turning away from God by ourselves in the lives we now live, and that, but for outside intervention, this could, in either case, well lead to the loss of the beatific vision. Furthermore, those who, partly as a result of divine intervention, die in a state of friendship with God might well be spared the quasi-extinction of fission, and, presumably, any further reincarnations. Hence all of us are reincarnations of those who die without being friends with God, which is why we come into the world having sinned and with a tendency towards further sin.

3. REPLACING REINCARNATION BY PARTICIPATION

Thus far I have been considering the speculation that reincarnation accounts for inherited responsibility and original sin, as well as

karma. I have already presented one difficulty with the reincarnation account of inherited responsibility. I shall now present an argument against reliance on reincarnation when accounting for either inherited responsibility or for original sin. This argument starts with a dilemma concerning the conditions for survival required for reincarnation. If a person at one time and a person at another have to be *strictly identical* for survival, as on the Simple View,[3] then, by the transitivity and symmetry of identity, mere can be no fission. Immediately that refutes the account of original sin which I have given. But it also results in further difficulties with the account I gave of inherited responsibility. For often the descendants of those who wronged some group vastly outnumber those who did the wrong. So, without fission, only a small percentage could be responsible. On the other hand, if we reject the requirement of strict identity we must, like Theravada Buddhists and like Hume, rely heavily on *psychological continuity*. For in the case of reincarnation, spatial continuity is empirically defeated.

The next step in the argument is to note that if there is reincarnation with psychological continuity then there should be methods of discovering our previous lives, for they should leave traces. Such methods have been devised, notably hypnotic regression. We ought, however, to reject the evidence from that source, not as fraudulent, but as indicative of something other than reincarnation. For it is common enough to find people under hypnosis re-living several very different lives which overlapped.[4]

Now I have accepted fission as compatible with psychological continuity, but fusing with another life would totally disrupt that continuity. The situation, then, is that the hypothesis of reincarnation, if it relies on psychological continuity, results in the prediction that such techniques as hypnotic regression should reveal evidence of former lives. That prediction initially seemed to be correct, but has

been shown incorrect, because of the multiplicity of former lives living at the one time. And false predictions are, to say the least, an embarrassment for a theory.

To be sure, no one should have predicted with certainty that if reincarnation occurs there should be traces accessible under hypnosis, so the failure of this prediction is by no means a conclusive argument. This might not matter except that reincarnation is already theoretically suspect for the obvious reason that no feasible mechanism ensures psychological continuity. Indeed in the absence of empirical evidence for psychological continuity between lives, the more overtly metaphysical speculation of a non-physical soul as a principle of mental unity might have something to commend it, leading to a very traditional view of reincarnation. But that is not compatible with fission.

In any case, even if, as I doubt, reincarnation with fission is an acceptable speculation, it is surely of interest to defend a different speculation which achieves much the same theoretical results. And it is to this that I now turn.

The participation replacement for reincarnation requires a moderate version of the thesis of the social construction of the self. Nine parts of self is other. That I say nine parts not ten parts marks me out as a moderate in this regard. The point being made is that my conception of myself—what I think of a distinctively me—as well as much of what gives me value as an individual, depends on my standing or having stood in various relations with others, especially those involved in my upbringing. A necessary condition (in any normal circumstances) for coming to be the sort of person that I am, with my way of thinking of myself, is that I was brought up as I was, and subsequently entered into the sorts of social relations I have. This is a moderate thesis because it is quite compatible with any or

all of the following claims: that there is a metaphysical self possessing which ensures personal identity; that my genetic endowment is partly constitutive of what I am; that to some extent I have chosen what to be; and that the relations which constitute me include those with God as well as those with my fellow human beings.

To this moderate version of the social construction of self I add a much less moderate hypothesis, namely that the societies which partly constitute us are what I call *moral persons*. What I mean is that a society can act and can have responsibility for its actions. In this way, the familiar causal influences of one generation on the next may properly be redescribed as the moral history of a society which, in its members at one time, does right or wrong and so, in its members at another time, bears the consequences both morally and psychologically. Instead of X being a reincarnation of Y, Z etc, X is partly constituted by a society which is in turn constituted by Y, Z etc.

This participation speculation will enable us to give accounts of inherited responsibility, karma and original sin, depending on the particular society we are considering to be a moral person* The obvious difficulty, however, is in defending the claim that societies are moral persons. I am not here speculating that societies have self-conscious minds, still less that they have a will of their own.[5] I do, however, have to ascribe some mental states to societies (eg intentions) if they are to be said to *act* and so be moral persons. Otherwise, they would only be as *if* responsible for what they *as if* did. The key, I take it, to an antisupematuralist account of the mental states societies is Functionalism.[6] This is the theory that mental states may be accurately characterised by the causal/dispositional relations (i) between them and other mental states, (ii) between the whole system of mental states and stimuli, and (iii) between the whole system of mental states and behaviour. For instance, while a

behaviourist might have characterised fear as the disposition to flee, a functionalist would acknowledge that fear can only be characterised by also considering its connections with cognitive states. Thus functionalists do not attempt to characterise mental states in isolation, their approach is holistic.

On the assumption of Functionalism, any state with the appropriate causal/dispositional relations, and appropriately related to that which is outside the system should be considered a mind, the states should be considered mental states, and the effects of the system on that which is outside it should be considered behaviour. It follows that person-like beings do not have to be of flesh and blood. Appropriately programmed, appropriately complex computers count as persons provided they have appropriate connections between their states and their environment. Likewise there could be exotic extraterrestrial persons based on systems which we would not recognise as living organisms, say patterns in plasma currents near a black hole.

I have used the word 'appropriate' a great deal when stating the functionalist characterisation of persons. The guide, I take it, to appropriateness, is that there is a structural similarity between the system and the mental states of an individual human being. By a *structural* similarity I mean that a description of the two systems would be similar if we ignored the intrinsic properties of the components and concentrated instead on the patterns of causal/dispositional relations. This might not be as precise as we would like, but it will do for the purposes of this discussion.

I shall now consider two objections to the account I have given. One is that a society does not exhibit sufficient structural similarity to an individual human being for it to be reasonable to ascribe responsibilities to it. My reply to that objection is that we have no

way of knowing what degree of similarity is required. It is this ignorance which prevents my account being anything more than a philosophical speculation.

The second objection is that in simple cases we know perfectly well how to paraphrase claims about the responsibilities of a society without recourse to any account of them as moral persons. Thus the Philosophy Department is responsible for its teaching and research, but that just amounts to the responsibilities of the individual members. If this holds in simple cases, surely; the objection goes, we should treat the responsibilities of more complex societies in the same way, namely as totally reducible to the responsibilities of individuals.

There are two ways of replying to this objection. The first is to note that we could say much the same about the responsibility of individual human beings* Our actions are just the result of patterns of neuronal activity and for suitably simple neural networks (eg of giant leeches) we have no need to talk of responsibility, so why talk of responsibility when it comes to the hugely complex ones which make us up? Yet we do. Whatever we say for the case of individual human beings we might also say for societies.

The second way of replying to the objection is to note that there is a relevant difference between the responsibilities of simpler and more complicated societies. In simple cases the members of the society are only responsible for righting wrongs for which they are individually to blame, whereas in more complicated cases the members can be responsible for what the society has done even though they are not individually to blame. For example, a society could be at fault for fostering the sciences, but neglecting the humanities, or vice versa. Yet no one individual need have done anything wrong. It just happened that all patrons of learning decided

to fund the sciences. (Here I am considering a society in which the central government considers the funding of cultural activities to be none of its business, but there is no shortage of wealthy patrons.) In that case, I submit, no one has done anything wrong but the people comprising that society have become collectively responsible to right the wrong situation brought about by society as a whole. Examples such as these cast doubt on the proposed reduction of the responsibility of a society to that of its individuals.

4. THE PARTICIPATION ACCOUNT OF INHERITED RESPONSIBILITY, KARMA AND ORIGINAL SIN.

One speculation, then, about our responsibility to the descendants of those whom our ancestors dispossessed and exploited is to take both groups as the present stages of moral persons (namely societies) of which the earlier stage of one harmed the earlier stage of the other.

From what I have said about inherited responsibility, the outline of my speculations about karma and original sin will be apparent. It is not that I, an individual human being, shall be reincarnated, but rather that a moral person of which I am now one of the parts has other parts in the future. It is this moral person which reaps as it sows. And I should not complain if the result is suffering for me, for only by being part of that moral person can I be the sort of person who I am.

For this account to be true, a rather simple law, the Law of Karma, must emerge from the complex network of social relations between individuals. How can something so disorganised as a group of interacting persons result in a law of such stark simplicity? Surely, we think, the description of groups must be more complicated than that. Here I appeal to something which Polkinghorne has emphasised,

namely the surprising way in which order can appear in complex systems.[7] For example, when a liquid is heated and convection occurs, billions of molecules 'organise themselves' so as to result in hexagonal columns of rising and falling liquid. Or again, the unintelligent and apparently random activities of a million termites result in the building of a massive and orderly nest. Likewise, I submit, simple laws governing societies can emerge in spite of their analytic complexity. These laws, being derived rather than fundamental, will not be without exception. Nonetheless they will hold in the vast majority of cases in a fairly accurate way. One such might well be the Law of Karma. The mechanism by which it operates is a law of moral psychology holding within the individual's lifetime to some extent, but also of the moral person formed by the ordinary social interactions between those whom we may call karmic heirs and karmic ancestors.

I have already offered reconstructions of inherited responsibility and of the Law of Karma. My reconstruction of the doctrine of original sin is obtained by combining the two, and considering a moral person consisting of humanity as a whole. Because of the wrong attitudes and intentions of individual men and women, humanity as a whole, and not just various societies, may be said to have wrong attitudes and intentions, whence by the Law of Karma it is both inevitable and just that humanity as a whole suffers sorrow and/or vice, which it does by the sorrow or vice which individuals freely choose between. In this way we inherit a tendency towards vice which we can only avoid by accepting suffering, and it is right and proper that we do so. Humanity has sinned so humanity must suffer. Moreover, we should not complain as individuals, for our existence as the sort of beings whom we are depends on our participation in humanity.

ENDNOTES

1   By descendants I always mean the cultural descendants. Likewise for ancestors.

2   Compare Robert Adams 'Existence, Self-interest, and the Problem of Evil', *Noûs*, 13,1979 pp. 53–65.

3   For expositions of the Simple View, see Roderick Chisholm, *Person and Object*, (Allen and Unwin, 1976), Ch. 3; Robert Coburn, 'Personal Identity Revisited', *Canadian Journal of Philosophy*, 1985 (vol. 15), pp. 379–404; and Sydney Shoemaker and Richard Swinburne, *Personal Identity*, Blackwell, 1984, pp. 22–34 and pp. 122–129

4   My evidence for this comes from practising hypnotherapists Denis Burke and Jill Sykes. Not only have they encountered the phenomenon, they consider it common knowledge among hypnotherapists.

5   That further speculation could provide us with an antisupernatural angelology and demonology It could also lead to an account in which original sin is participation in Satan, to be replaced by participation in Christ.

6   Compare William P. Alston, 'Functionalism and Theological Language' *American Philosophical Quarterly*, 1985 (vol 22) pp. 221–9 who provides an application of Functionalism to Theology.

7   John Polkinghorne, *Science and Providence*, London: SPCK, 1989.

IMPERATIVES AND RELIGION IN INDIA

Shlomo Biderman

An ancient Indian parable tells of a traveller who lost his way in a dense forest. Trying to find his way out he encountered a wild elephant which charged at him, trunk upraised. Terrified, the traveller looked for refuge. As the parable concludes, he finds himself hanging on a clump of reeds growing from the wall of an old well, while two mice are busily gnawing the roots of the reeds. Waiting patiently at the bottom of the well were many snakes. Among them, a hugh python, its mouth wide open, ready to catch the miserable traveller when the mice had finished their meal.[1]

The purport of this story is to teach the highest value of Indian religion. The traveller is the human soul and his journey through the forest is *saṃsāra* - the endless and painful chain of suffering and misery which can not be terminated as long as man chooses to see himself as part of phenomenal existence. The only way to stop this suffering is by detaching oneself from this mode of phenomenal existence and by acquiring a right philosophical knowledge about the world. When these are finally achieved, man attains the long-desired state of release (*mokṣa* or *nirvāṇa*).

There is no doubt that the notion of release - that is to say, the assumptions concerning the existence of *nirvāṇa* and the possibility of attaining it - is the most fundamental notion of the majority of the philosophical and religious schools of India. However, among the six main philosophical schools that form what is commonly defined as 'Hindu philosophy', Jaimini, the founder of the Mimamsa school, was the only thinker in whose writings *nirvāṇa* is not even mentioned. Indeed, one searches Jaimini's writings in vain for any attempt at preaching an ultimate release from everyday existence. Returning to the parable quoted above, it thus seems to me that it is not

coincidental that the only detail kept in Indian tradition about the life of Jaimini is his unfortunate death, as a result of a savage attack by a wild elephant. Within a cultural tradition that regarded *nirvāṇa* to be the highest value for man, the Mimamsa school is therefore quite exceptional. It is for this reason that it has aroused little interest among scholars and researchers of Indian philosophy and religion. A substantial number of books and articles devoted to Hinduism as a religion and a way of life do not even mention the Mīmāṃṣā. And among historical studies of Indian Philosophy there are instances of outright scorn and contempt directed towards it.[2]

My firm conviction is that such attitude towards the Mīmāṃsā school cannot be justified. Moreover, I believe that one can find in the religious position of ancient Mīmāṃsā some promising possibilities for a new appreciation of the religious phenomenon as well as some sophisticated arguments which are relevant to current studies in the philosophy of religion. Within the framework of the present paper I will deal primarily with one aspect of ancient Mīmāṃsā - its standpoint concerning the status of religious language. The position of the Mīmāṃsā on this issue may be familiar to anyone who is acquainted with certain contemporary philosophies of religion. However, my method in the present paper will not be explicitly comparative. Rather, I will confine myself to the examination of the primary sources of ancient Mīmāṃsā, and even when using some Western terms, I will try my best not to distort or misinterpret the ideas conveyed in these ancient Indian texts.

It seems appropriate to begin with a short historical description of the development of the Mīmāmsā school. Hindu philosophy in India evolved in six major forms. They are known as *darśanas*, or the six classical schools of Hinduism. The Mīmāṃsā school is considered to be one of the most ancient of these schools and it is notimplausible to suggest that it is perhaps the most ancient of all the *darśanas*. The

oldest text of the Mīmāṃsā known to us today is the *Mīmāṃsā-Sūtra* which, according to Indian tradition, was written by the somewhat mysterious Jaimini. It was, probably, composed in the third or second centuries B. C. However, there is room to suppose that the actual beginnings of the Mīmāṃsā school can be dated even earlier; there exists sufficient evidence of the activity of several Mīmāṃsā thinkers, before Jaimini, whose writings have not survived. The *Mīmāṃsā-Sūtra* is, in all probability, a systematic summary of some religious conceptions that existed in India up to the time of Jaimini. Several commentaries were written on the *Mīmāṃsā-Sūtra*, and the most important one known to us today is that of Śahara. According to most scholars this commentary was written in the first or second centuries A. D., that is, about five hundred years after Jaimini's lifetime.[3]

The term ' Mīmāṃsā' can be found in some ancient Indian texts prior to Jaimini. It is derived from the Sanskrit root '*man*' meaning, 'to know', and can be translated as 'desire for knowledge', or, less literally, as 'inquiry'. The subject of that inquiry are the Vedas - the most ancient part of Indian *śruti*. The *śruti* - 'heard' scriptures - are considered to be infallible and to possess eternal, absolute authority. *Śruti*, as its meaning testifies, originated in the oral tradition. Its most ancient and sacred parts are the four Vedas, which are supposed to have originated around 1000 B.C. One of the Vedas is made up primarily of hymns in praise of the gods; a second, which contains the same hymns, records how they should be chanted; a third is composed of prayers to accompany the rituals of sacrifice; and a fourth has spells and magic incantations. The religion of the Vedas is predominantly polytheistic, but some of its later hymns imply or state other conceptions which tend to be more monotheistic and even monistic. To each of the Vedas there are attached other writings, also classified as *śruti*. One such *śruti*, the Brāhmaṇas, plays

a major role in the Mīmāṃsā religion. The aim of the Brāhmaṇas is to explain the Vedic hymns and rituals, stating many detailed rules and regulations concerning the performance of the religious practices. Whenever the Mīmāṃsā refers to the Veda, it also includes the Brāhmaṇas within this term. In the *Mīmāṃsā-Sūtra*, Jaimini's purpose was to offer a systematic explanation of the Vedic ritualistic religion. It is, in fact, the largest work in all the *sūtra*-literature in India and it consists of about 2,700 *sūtras*.

The main purpose of the Mīmāṃsā-Sūtra is presented in the opening *sūtra*. A literal translation of it runs as follows: "Now, therefore, an inquiry into duty".[4] The key-notion of this verse is of course the term 'duty', which is the translation of the Sanskrit term '*dharma*'. *Dharma* was widely used by different schools of Indian philosophy and, consequently, it has more than one meaning. As such, one should be aware not to confuse the meaning of *dharma* in other schools with its meaning in the Mīmāṃsā system. I have chosen to translate '*dharma*' (within the framework of the Mīmāṃsā) as 'duty', and my reasons will, I hope, become clear as I proceed.

The subject-matter of the Mīmāṃsā is thus the examination of 'duty'. Even at first glance this statement invites several questions: What is the nature of this duty? How is it expressed? By whom is it commanded? The second *sūtra* of the *Mīmāṃsā Sūtra* defines the nature of duty unequivocally. Duty consists of a total obedience to all the injunctions that can be found in the Vedas.[5] Expressed generally, duty is presented as a set of laws, injunctions and regulations, to which the believer must strictly adhere, both in the positive sense of 'do' and in the negative sense of 'do not.' Thus, the religious verses that appear in the Vedas have a single and unified purpose: to instruct man in the permitted paths of action, and to block off those paths that are forbidden him. It follows that *dharma* or duty is not dependent either on some abstract articles of faith or on the

existence of some mental state. In other words, religion obliges the believer only as a set of injunctions, that is, only insofar as religion impinges on his actions. Religion is not therefore intended to provide man with historical, cosmological, psychological or moral precepts; it certainly does not claim to preach a spiritual method of release by which man can attain the absolute Being. The sole legitimate aim of religion is to oblige man to perform certain activities and to refrain from others. If I may rephrase the lase sentence in more familiar philosophical terminology, it is clear that to the Mīmāṃsā religious language is a prescriptive language which consists of imperatives. Any attempt to reduce the religious imperatives to indicatives will be rejected by the Mīmāṃsā as a distortion both of religion and the role and function of religious language. The uniqueness of religious language lies in the fact that it does not describe any particular state of affairs; it does not tell the believer that something is the case, but rather obliges him to act in certain ways so as to make something the case. If we adopt the terminology widely used in contemporary philosophy of religion, we can state that in the debate held between philosophers who claim that religious language should consist of indicatives and have a cognitive meaning, and those who claim that religious expressions are not cognitive, the Mīmāṃsā would have associated itself with the latter position.

The characterization of religious language as a prescriptive language is for the Mīmāṃsā the starting-point for lengthy discussions concerning the nature of religious imperatives and the appropriate way to understand them. As I have already pointed out, a basic distinction drawn by the Mīmāṃsā is between 'positive' imperatives and 'negative' imperatives; that is, between commands that oblige the believer to act in a certain way and those which proscribe the believer from performing certain other actions. Indeed, Jaimini suggests many classifications of various religious imperatives.

At this stage, however, it will be enough to mention only one of these classifications. Jaimini argues that in order for a command to be considered religious (and, hence, obligatory), it must contain a *novelty*. The existence of novelty serves as a necessary condition for regarding any command as authoritative and binding. In other words, religious imperatives are not intended to command an action, the performance of which is necessary, nor are they meant to authorize an action which would have been carried out by most people as a matter of inclination, habit, custom, etc. To give a hypothetical example, if the Mīmāṃsā had come across a command which calls upon man to "enjoy life with a woman you love all the days of your allotted span here under the sun," it would not regard its primary meaning as religious. The enjoyment of life with the beloved woman (whatever the meaning of that may be) is desired by most human beings anyway, and, therefore, does not require a religious imperative to command it. Thus one would expect the Mīmāṃsā to explain the verse quoted above (as it had actually done in similar cases) as having some secondaty, non-literal meaning. Similarly, religious imperatives are not meant to command the performance of impossible actions. Thus, when Śābara, the commentator on the *Mīmāṃsā-Sūtra*, encounters the Vedic injunction which forbids the kindling of fire in the sky, he is anxious to emphasize that this Vedic injunction should not be understood as conveying its literal meaning, but rather in terms of its relation to another injunction whose execution is possible.[6]

In spite of these interpretations, Jaimini declares in several places throughout the *Mīmāṃsā-Sūtra* that the meaning of religious language does not differ from that of ordinary, everyday language. He even goes so far as stating explicitly that the two must be regarded as conveying the same meaning, since, if it were not so, religious commands would be incomprehensible and, consequently,

useless.[7] However, neither Jaimini nor Śābara remain entirely faithful to this dictum, on occasions finding it necessary to modify and even to neglect it completely. Thus Jaimini offers a tipartite classification of the Vedic sentences, as follows: (i) *vidhi*-sentences which consist of all explicit injunctions and prohibitions that appear in the Vedas; (ii) *artha*-sentences which embrace the indicative sentences in the Vedas, describing primarily the nature and function of the gods; (iii) *mantra*-sentences which are basically spells and chants uttered during the religious rituals and sacrificial ceremonies. As I have already pointed out, the Mīmāṃsā sees the injunctions, i.e., the *vidhi*-sentences, as the sole constituent of religious language. At the same time it takes the Vedas as a whole to be infallible and to possess an absolute authority. Given that the Vedas include many descriptive passages, these two statements appear incompatible. It must, therefore, follow that either religious language is not totally injunctive or that not all that can be found in the Vedas in equally authoritative. Jaimini is well aware of this apparent incompatibility and presents it explicitly as an argument put forward by the Mīmāṃsā's opponents. This argument concludes that since the purpose of the Vedas is to command actions, those parts of it which do not serve that purpose are of no use and so should be regarded as unauthoritative.[8] Śābara goes even further and supplies the opponents with many examples by which they attempt to undermind the injunctive standpoint of the Mīmāṃsā. In one place the Vedas tell about a god who sheds tears. How are we to explain this passage? Should be see it as commanding the believers to shed tears too?[9] In the same vein the opponents ask: How should we understand all the Vedic passages which stand in overt contradiction to our simple, everyday experience? To give but one example: How should we understand the Vedic declaration that during daytime one can see only the smoke of a fire but not the fire itself?[10]

Jaimini presents one general answer to all these questions. According to him, the indicative sentences in the Vedas must be seen as auxiliaries, put forward to explain and clarify the religious imperatives. Their aim is to praise the religious injunctions, thereby convincing the believer to carry them out correctly.[11] In such cases, therefore, it is necessary to interpret the descriptive passages as conveying some secondary, non-literal meaning.[12] It is in this way that, throughout his commentary, Śābara interprets many Vedic passages. Let me cite but one example in this context - that of the god who sheds tears. Śābara argues that the description of the crying god is really meant to serve as means for understanding the Vedic injunction that prohibits the use of silver in one of the rituals (for at the end of the description it is noted that the tears of the god turned into drops of silver).[13] Indeed, the way from the myth about the crying god to the laconic prohibition against using silver in some ritual is not short, and is achieved by a series of verbal acrobatics which any professional casuist would have been proud of. It is not my intention to follow the line of casuistry. Rather it is to emphasize that, according to the Mīmāṃsā, religious language does not possess any indicative meaning. Thus the Mīmāṃsā will make every attempt - within the bounds of common sense and sometimes beyond - to disconnect any scriptural sentence from its descriptive meaning and interpret it as supplementary clause to the injunctive sentences. Similarily, the Mīmāṃsā attributes only marginal significance to *mantra*-sentences and sees their main purpose as aiding the performer of the ritual to remember what is required of him.[14]

Dharma. then, is expressed by the set of laws and injunctions which are presented to the believer in the Vedic scriptures. Obviously, the infallibility of these scriptures is a necessary condition for accepting the religious imperatives as authoritative and binding. In other words, in order that the religious commands would be

regarded as obligatory, the validity of the Vedas should be acknowledged beyond any reasonable doubt. Establishing the authority of the scriptures is therefore the central task of the theologian or the religious philosopher. However, the question of the authority of the scriptural texts has been almost totally neglected in recent discussions in the philosophy of religion. This neglect seems to me very unfortunate. The significance of the scriptures to the religious institution is, I think, no less crucial than the significance of the existence of God. The prevailing opinion often sees scriptural authority as derived from the existence of God, who, in this sense, serves as the validator of scripture. It seems to me, however, that a close scrutiny will reveal that sometimes the existence of God, far from being the source of the scriptures, is actually dependent on a prior acceptance of them as authoritative and infallible. The Mīmāṃsā is, in fact, one example of a religion in which the question of the existence of God is totally dependent on the assumption of the scriptures as absolutely valid (Judaism being, I think, another case).

Accepting the notion of scripture (*śruti*) to be the backbone of religion, Jaimini does not hesitate to draw the extreme conclusion that from the notion of scriptural validity one can posit the *non-existence* of God. First and foremost, the Mīmāṃsā argues that the scriptures - being authoritative, that is, everlasting, unchangeable and infallible - do not stem from any external source, either divine or human.[15] In this context, regarding the scriptures as being handed down by God would clash with their external nature, thereby weakening their validity. As van Buitenen puts it,

> Revelation is by no means God's word - because, paradoxically, if it were to derive from a divine person, its credibility would be impugned. It is held to be authorless, for if a person, human or divine, has authored it, it would be vulnerable to the defects

inherent in such a person. It is axiomatic that revelation is infallible, and this infallibility can be defended only if it is authorless.[16]

The authority of the scriptures is absolute precisely because they were never composed. They cannot, therefore, be subject to falsification. More generally, God understood as the legislator or validator of religious injunctions will make the injunctions appear, not as ends-in-themselves, but rather as a means achieving the will of God. As we shall see, such an assumption would deal a serious blow to the very foundations of the Mīmāṃsā religion, for it would undermine the constitutive status of the religious injunctions. We can premise the Mīmāṃsā religion on the maxim 'In the beginning was the Injunction'. A consistent, even though not necessary, implication of this maxim would be the complete denial of the existence of God. If religion is nothing more than a set of obligations and prohibitions found in the scriptures, and if God has no status within these obligations and prohibitions, it is difficult to imagine just what significance can be attributed to his existence. It is consequently not surprising that the Mīmāṃsā flatly denies God's existence, both as the cause of the world (i.e., its creator and preserver), and as the highest authority before whom man is accountable for his actions. The Mīmāṃsā is, then, an outstanding example of an atheist creed. Indeed, a thousand years after Jaimini's lifetime we hear Kumārila (one of the most important philosophers of the Mīmāṃsā school) complaining that the Mīmāṃsā religion was commonly regarded in India as *lokāyata*, i.e., atheistic, and promising to refute this charge.[17] However, as far as the existence of God is concerned, Kumārila's promise remains unfulfilled; in fact he himself contributes some arguments aimed at rejecting the existence of God while at the same time attempting to refute the charge of atheism by affirming the possibility of release (*mokṣa*). If we bear in mind that the Mīmāṃsā is

considered as one of the solid cornerstones of Hindu religious orthodoxy, we will realize that a religious orthodoxy is not necessarily identical with a firm and dogmatic belief in God. On the contrary, the belief in God, with all its intellectual and emotional faces, is considered by the Mīmāṃsā to be a degeneratory element in religion which undermines the constitutive structure of the imperatives. The latter are understood, therefore, as the alpha and omega of religion.

The atheistic conclusion of the Mīmāṃsā may come as a surprise to anyone who restricts himself to a cursory glance through the pages of the Vedas. Such a reader will undoubtedly discover several passages primarily devoted to the description of the power and glory of various gods. Such passages however leave the Mīmāṃsā unperturbed, and this for two reasons. First, because the Vedas present a polytheistic religion that is much more restricted than at first appears. By this I mean that the status of gods is quite limited. They are not regarded as the creators of the set of injunctions, but as subject to it. Second, the Mīmāṃsā claims that whenever in the Vedas we come across hymns of praise to the might of one god or another, we are not meant to accept them literally, but rather to see them as auxiliaries to the imperatives. Following this approach, Śābara suggests an interesting explanation for the mutual relationship that exists between the religious activity on the one hand and the Vedic gods on the other hand. He compares this relationship to the grammatical relations existing between the designator in a sentence and it designatum.[18] By way of an example he considers the sentence 'The prince's servant should be honoured.'[19] It is clear that the subject of the sentence is the designatum (the servant) and not the designator (the prince). The word 'prince' has a limited role, namely to aid in the identification of the person upon whom honour and respect should be bestowed.

Similarity, the Vedic gods are nothing but the designators of the religious activity. Their names are used merely as means for clarifying the exact nature of the injunctions. Thus, Śābara argues, the concept of the gods does not logically precede the concept of religious duty but, on the contrary, the latter logically precedes the former.[20] The gods are seen as nothing but fictitious verbal entities made to serve the religious activities on two levels - a technical-narrow one and psychological-broader one. On the narrow level the gods are verbal designators, helping to differentiate one religious activity from all others. (Śābara states explicitly that the gods do not help to perform the religious rituals in their material form but rather in their verbal form, that is, by their names.[21]) On the broader level, the gods can be described as the recipients of the various sacrifices, prayers and chants - thus answering the psychological inclination of all those naive believers who find it difficult to understand that religious duty does not serve any external purpose beyond itself.

The emphasis laid by the Mīmāṃsā on the injunctive character of religious language brings Śābara to a bold conclusion concerning the truth-value of all the stories which are to be found in the Vedas. Among other things, these stories mention some biographical details on the life of certain persons from the past. It may, consequently, appear that the Vedas were composed at a definite time which is later than the lifetime of these persons. Hence the Vedas could not be regarded as eternal and infallible.[22] Confronting this difficulty, Śābara does not hesitate to adopt an extreme conclusion - one which would certainly have been regarded as heresy in other religions. He claims that the occurrences portrayed in the Vedic stories, in fact, never happened.[23] Accordingly, he interprets the names of these persons allegorically and uses once again all his casuistic skills to present them as verbal means only for the performance of religious duties.

At this stage I would like to dwell upon some of the philosophical implications of the Mīmāṃsā position. As I have pointed out, the Mīmāṃsā reduces religious language to the imperative mood only, and thus religion is presented as a closed system of commands which do not stem from any external source and do not serve any transcendent purpose. Many scholars of Indian philosophy found this rigid conception of religion unsatisfactory. Radhakrishnan, for example, described the Mīmāṃsā religion as "mechanical" and "unsound", lamenting that "there is little in such a religion to touch the heart and make it glow."[24] The religious position of Jaimini and Śābara was often presented in similar ways. It was seen as an authoritarian approach that does not try to supply any justification whatsoever for its demand for unconditional obedience. The Mīmāṃsā believer was pictured as a trained soldier whose only task is to blindly obey orders - fulfilling his duties exactly as he was told.[25] Furthermore, it appears as if the believer is prohibited from reflecting upon the reasons for his actions which, by definition, are devoid of any purpose beyond themselves. In short, the common criticism of the Mīmāṃsā religion is that it is a military-like religion and as such valueless.

This line of criticism seems to me to be based on a conceptual confusion. As I have said, the Mīmāṃsā's critics drew a parallel between religious imperatives and military orders. The latter, it is true, are usually expressed in the imperative mood but, in my opinion, they differ considerably from religious commands. Since I consider this difference to be important in the understanding of the Mīmāṃsā religion I shall dwell on it in some detail.

One of the components that makes a military order obligatory and binding has nothing to do with its grammatical form. A military order is considered as obligatory when it is given by a recognized source of authority. In other words, an utterance will be regarded as a

military order if and only if it is commanded by someone who is properly authorized to do so according to the rules of the military institution. Moreover, an essential characteristic of a military order is that its source of authority must be *directly* and *positively* defined by the rules of the military institution; military commands will become ambigious if and when their source is not so determined.

The issue is quite different when we turn from military orders to the religious injunctions of the Mīmāṃsā. As stated above the Mīmāṃsā asserts that the injunctions do not stem from any external source. They are not granted their authority by virtue of being handed down by some divine power. On the contrary, they are authoritative precisely because they were *not* given by such a power. As such, the authority of the scriptures is defined by using a *double negation*: 'One should obey the injunctions because they were not given by any unauthorized souce.'

The distinction between military orders and religious commands lies in the difference between two distinct definitions of the source of authority for these imperatives. It may appear, at first glance, that this difference is merely a matter of terminology, for certainly, from a logical point of view, the equation '$P = \sim(\sim P)$' is a tautology. However, if judged from a religious point of view, the difference between direct and affirmative language on the one hand and a 'double negation' language on the other hand is not incidental. Consider, for example, that instead of asserting that a military order should be obeyed because it was given by an authorized person A, we will say that it must be obeyed because it was *not* given by unauthorized persons B, C, or D. Defining the source of military authority via a double negation would in fact undermine that source and consequently deal a serious blow to the effectiveness of the military commands. For military orders usually serve as as means for achieving certain aims and, so far as I know, any same commander

will not regard them as ends-in-themselves (even most extreme military regimes which may claim the army to be an end-in-itself, do not hesitate, when necessary, to rely on its weapons). It follows that any attempt to define the source of authority of military orders must take into account that these orders are intended to achieve certain aims, the existence of which is independent of the orders themselves. To put it differently, military commands regulate an independently existing set of objectives. Using the double negation in order to define their source of authority will not, to say the least, contribute towards the achievement of these objectives.

Matters are quite different when one considers the religious position of the Mīmāṃsā. As I have argued, the Mīmāṃsā refrains from any direct answer to the question concerning the reasons for obeying the religious imperatives or, to put it more generally, the reasons for belief. Instead it expresses its answer in purely negative terms. I think that by doing so the Mīmāṃsā, far from being evasive, outlines a fundamental feature of its doctrine. Religious laws stand in direct contradition, not to say confrontation, to all regulative laws according to which many social institutions operate. Thus religion does not intend to gratify human needs, nor does it intend to provide man with any kind of information. Instead, religious laws are presented as ends-in-themselves and the observance of the injunctions is not a means of attaining a goal, but itself constitutes the goal. Since the Mīmāṃsā is well aware of the fact that for most people religion is a way in which they express their inner states of mind as well as a means by which they hope to achieve their aims, it is evident that the crux of the Mīmāṃsā religion is an alternative to all these popular conceptions of religion.

The Mīmāṃsā, then, establishes religion as a constitutive institution. How did Jaimini and Śābara come to this conclusion? In my opinion, a brief answer to that question can be summarized in

the following formula: 'religious institution = linguistic institution'. In order to understand the meaning of the formula we must carefully examine the fifth *sūtra* of the *Mīmāṃsā-Sūtra*, in which Jaimini says, among other things:

> The connection between a word and its meaning is natural. The (Vedic) injunctions are, therefore, the only means of knowing duty (*dharma*).[26]

In the first sentence of the above *sūtra* Jaimini suggests the basis for a theory of meaning which will be accepted, almost without exception, by all the Mīmāṃsā philosophers. The crux of this theory lies in the Sanskrit term *autpatika*, which I have translated as 'natural' and which can also be translated as 'inborn' or 'innate'. In his commentary on this *sūtra* Śāhara explains clearly the core of Jaimini's conception of meaning: the meaning of language, he argues, is not a result of some implicit accord or convention between the users of language, but rather a 'natural' or 'innate' idea. The ways we use language and our ability to make connection between a word and its meaning are due to the existence of an inborn linguistic capacity which enables us to follow the rules of meaning and thus to use language in everyday life. As I have hinted above, this approach of Jaimini was later adopted by philosophers of the Mīmāṃsā school and served as a starting-point for discussions in the field of philosophy of language. At first sight it would appear that we are confronted with a respectable philosophical theory of meaning which may exist in its own right. However, it is not inappropriate to ask whether Jaimini's intention was purely philosophical. The answer, I think, is in the negative.

I believe that one should not disregard the fact that Jaimini's conception of meaning was offered within a religious context. This fact is explicitly presented in the *sūtra* quoted above, where the

injunctive character of religious duty (stated in the second sentence of the *sūtra*) is directly derived from the 'innate' nature of language (stated in the first sentence). It is surprising that this connection between the Mīmāṃsā's theory of meaning and its approach to religion was ignored in recent discussions of Indian philosophy of language.

What is the meaning of the equation between language and religion? It should be remembered that according to Jaimini, the understanding of the nature of religion is entirely dependent upon an understanding of the nature of language. To put it crudely, the structure of religion is identical to the structure of language. Language is characterized as stemming from an inborn capacity which determines the relation between words and their meanings. Thus, language cannot be explained only as a means for achieving certain external goals (such as communication), or as a set of rules which regulates some pre-existing activity. On the contrary, the rules of language constitute the linguistic activity and the latter is therefore logically dependent on linguistic rules. Religious imperatives are constitutive in the same way; they command activities which can be defined and explained only by means of the imperatives themselves. Such a religion has no place either for a personal God or for a non-personal ultimate Being. Presenting the idea of Transcendence through the front-door of the religious institution or smuggling it through its back-door will inevitably reduce religious worship to the minor role of a means for achieving God's grace or for attaining some mystical union with the ultimate Being. In that case, the imperatives would have to be regarded as rules which regulate the religious activities towards achieving those transcendent goals. The Mīmāṃsā finds such a religion totally unacceptable and thus insists that religion should be devoid of any transcendent entity whatever. The scriptures, it is true, are regarded

as eternal and infallible, but as they have no author or validator, the imperatives contained therein have no purpose beyond themselves. The injunctions are 'eternal' in the same structural way as the meaning of the words are 'innate'; by which I mean that neither language nor religion can be explained or justified by using the terms and concepts belonging to another institution. The injunctive character of the religious language is, according to the Mīmāṃsā, a clear demonstration of the totality of religion.

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NOTES

1. See *Samaraicca-Kaha*, II. 55 ff.

2. See for example, S. Dasgupta, *A History of Indian Philosophy*, Vol. I, London, 1963, p.405.

3. For a Sanskrit edition of Jaimini's *sūtras* and Śābara's commentary, see: *Mīmāṃsādarśana with the Commentary of Śābara*, (ed. R. G. Bhatta), 2 Vols., Benares, 1910. The *sūtras*, without the commentary, were edited and translated by M. L. Sandal, *The Mīmāṃsā Sūtras of Jaimini*, Sacred Books of the Hindus, Vol. 27, 1925 (reprinted by AMS Press, New York, 1973). An English translation of Jaimini's *sūtras* and Śābara's commentary was made by G. Jha (tr.), *Śābara-Bhāṣya*, Gaekwad's Oriental Series, Vols. LXVI, LXX, LXXIII, Baroda, 1933–1936.

4. *Mīmāṃsā-Sūtra* (= *M. S.* 01.1.1.: "*athāto dharma jijñasa.*"

5. *M. S.* I.1.2.: "*codanā lakṣano artho dharmaḥ*".

6. See for example Śābara's commentary on *M.S.* 1.2.18.

7. *M. S.* I.3.30: "*prayogacodanābhāvāt arthaikatvam abibhāgāt*".

8. *M.S.* I.2.1.: "*amnāyasya kriyārthatvāt ānarthakyam atadarthānām; tasmat anityam iti ucyate.*"

9. See Śābara's commentary on *M.S.* I.2.1.

10. *Op. cit.* 1.2.2–1.2.3.

11. *M. S.* 1.2.7: "*vidhinā tvekavākyatvāt stutyarthena vidhīnam syuḥ*" See also *M.S.* 1.2.8–1.2.18.

12. See *M.S.* 1.2.10. Jaimini uses the term *guṇavādaḥ* - meaning a figurative or allegorical way of speech.

13. See Śābara's commentary on *M.S.* 1.2.10.

14. See for example *M. S.* II.1.30 – II.1.31 and Śābara's commentary.

15. See *M.S.* I.1.18 ff: I.1.27 – I.1.32 and Śābara's commentary. See also *Sarva-Darśana-Samgraha* (tr. E. B. Cowell and A. E. Gough), Delhi, 1976, pp. 187–195.

16. E. Deutsch and J. A. B. van Buitenen, *A Source Book of Advaita Vedānta*, Honolulu, 1971, p. 5.

17. "*prayena iva hi mīmāṃsā lokāyatīkṛta; tāmāstikythe kīrumayam yatnah krto maya*" (Kumārila's *Slokavārtika*, 1.10, ed. K. D. Sastri, Trivandrum, 1926.

18. See Śābara's commentary on *M.S.* VIII.1.34.

19. *Op. cit:* "*rajapupusah pūjyah*"

20. See for example, Śābara's commentary on *M.S.* X.4.23.

21. *ibid*

22. See Śābara's commentary on *M.S.* I.2.5.

23. *Op. cit* on M.S. *I.1.31*.

24. S. Radhakrishnan, *Indian Philosophy*, Vol. II, London, 1931, pp. 428–429.

25. See for example, K. H. Potter, *Presuppositions of India's Philosophies*, New York, 1963, p. 250.

26. *M.S.* I.1.5.: "*autpatikastu śabdasyārthena sambandhah; tasya jñānam upadeśaḥ avyatirekaḥ ca arthe anupalabdhe*.

ROY W. PERRETT

RELIGION AND POLITICS IN INDIA: SOME PHILOSOPHICAL PERSPECTIVES

What is the traditional relation of religion to politics in India? Recent scholarly debate has generated at least two divergent answers. According to one view there is a long standing traditional opposition between religion and politics in India because its highest value (*mokṣa*) is renunciatory and asocial. According to another view a separation of religion from politics is contrary to Indian ways of thinking and the present currency of such a picture is the product of various colonialist strategies.

I want to address the question from the perspective of classical Indian philosophy. To be able do so, however, I shall also need to utilize some work in Western philosophy. In particular, I need to say something about the crucial terms 'religion' and 'polities' and their relevance to the classical Indian tradition. My theoretical approach will be influenced by Western philosophy but my historical focus will be on the Sanskrit philosophical tradition. In this sense there are two distinct philosophical perspectives offered here.

I shall proceed by initially responding to two distinct kinds of scepticism about the relevance of the concepts of religion and politics to the Indian context. The first kind is a general scepticism about the intelligibility of these concepts: do the terms 'religion' and 'politics' really pick out anything at all? If this scepticism is sustainable, then ipso facto the concepts can have no relevance to the Indian context.

I argue that this general scepticism about the concepts of religion and politics is mistaken. Moreover the form of my response to this general scepticism has implications for the second kind of scepticism I want to respond to. This latter restricted scepticism does not deny the general intelligibility of the concepts of religion and politics. Rather it just denies their applicability to the classical Indian context because there are no precisely equivalent Sanskrit categories and terms. But this restricted scepticism assumes far too stringent requirements have to be satisfied for the concepts to be able to be counted as instantiated in India. Plausibly the relevant Sanskrit notions are *artha* and *dharma* for politics, and *mokṣa* and *dharma* for religion. How are these Sanskrit notions related according to the classical Indian philosophers? The short answer is that the classical tradition is not monolithic: different philosophers give different answers.

One classical Indian philosophical view emphasizes the continuity of *dharma* and *mokṣa*. An alternative view emphasizes the opposition between *dharma* and *mokṣa*. The classical Indian philosophical tradition thus seems to offer at least two major strands of thought on the relation of religion and politics: according to one the two notions are continuous, according to the other they are opposed. Both positions, however, are authentically indigenous and predate colonial influence. Moreover both strands of thought continued to have influence in medieval and modern India. In other words, responding to the recent debate it is important to realize that there is no *single* traditional Indian perspective on the issue of religion and politics.

I

Social scientists and historians of India are currently engaged in a debate about the extent to which the present prominence of issues

of caste and community in contemporary Indian politics is continuous with the pre-colonial past, or instead represents a transformation brought about by colonialism.[1] This debate is complicated by the fact that scholars of traditional Indian history and society are also divided about what the relation of religion and politics was in ancient times. The debate is somewhat intricate and nuanced. Nevertheless we can rather crudely, but not unhelpfully, identify two opposing camps: the *separatists* and the *assimilators*.

Occupying a place of honour in the separatist camp we find the extremely influential views of the distinguished sociologist Louis Dumont, according to which at a very early date India distinguished religion from politics.[2] This distinction then supposedly became crucial for the development of the caste system, for caste is about the 'religious' opposition of purity and impurity. In India religious values are acknowledged as superior to political values, the *brāhmana* priest as superior to the *kṣatriya* warrior and king. Also prominent in the separatist camp is the Indologist J. C. Heesterman, who argues for a related but distinct thesis: that India's highest value is renunciatory and hence asocial.[3] The separatists, then, take as canonical the perspective of the brahminical textual tradition with its valourization of the renunciatory order over the 'kingly', and hence of religion over politics.

Their critics among the assimilators challenge this separation of religion from politics. Hence a number of writers have claimed that the origins of caste are to be found in a political context of kingship. Apposite here is Arthur Hocart's earlier theory that caste systems are ways of distributing through the system duties connected with the king's service, where the king is the guarantor of 'life' and well-being.[4] More recently the historian Nicholas Dirks has argued that the prevalent ideology in pre-colonial India was not a religious one based on purity and pollution, but a political one based on royal

authority and honour.[5] Ronald Inden has sought to explain the earlier Indological focus on caste as part of an 'Orientalist' strategy designed to make the traditional Indian state look weaker than it ever was.[6] And modern Indian intellectuals like T. N. Madan and Ashis Nandy have claimed that the separation of religion and politics now reflected in modern India's constitutionally guaranteed secularism is a Western-derived model alien to the Indian tradition, a product of various colonialist strategies.[7] Finally, the influential work of the anthropologist McKim Marriott is also often invoked in support of the view that the separation of religion and politics, or power from purity, is contrary to Indian ways of thinking.[8]

Notwithstanding the interest of much of this work, I am sceptical about the terms of the present debate. It seems to me that neither the separatists nor the assimilators adequately represent the diversity of traditional Indian thinking about religion and politics. However, I do also want to be careful to distinguish my own scepticism from other varieties of scepticism about the terms of the debate: in particular, certain kinds of scepticism about the very relevance of the concepts of religion and politics to the Indian context. Hence I shall proceed by initially responding to two distinct kinds of scepticism of this latter type, both rather different from my own view.

The first kind is a general scepticism about the very intelligibility of the concepts of religion and politics: do the terms 'religion' and 'politics' really pick out anything at all? Obviously if this general scepticism is sustainable, then ipso facto the concepts can have no relevance to the Indian context. But does anyone actually hold a sceptical view of this sort? I am not sure I can convincingly nominate an exemplar of such scepticism about *both* concepts. However, the work of Wilfred Cantwell Smith represents an influential example of such a scepticism about the concept of religion; and Marxism

represents an example of such a scepticism about the concept of politics.

According to Cantwell Smith the concept of religion is an eighteenth century European construction totally inadequate to the phenomena it supposedly describes.[9] This is particularly true of the notion of 'a religion' as a clear and bounded historical phenomenon, reified as Hinduism, Buddhism, Christianity, etc. Cantwell Smith has two basic arguments for his position. His first argument is theological: the notion of 'a religion' is an outside observer's characterization of religious life; it leaves out the relation of religious life to what cannot be observed, the transcendent. This argument, however, apparently commits the study of religion to affirming the existence of the transcendent, a commitment many would find both methodologically unattractive and philosophically dubious.

His second argument he calls 'historical', but in fact the argument depends upon a philosophical thesis. He claims that the notion of religion requires the existence of an unchanging Aristotelian-style essence which is picked out by the term 'religion'. But there are no such essences and hence we cannot define 'religion'. More particularly, unchanging essences 'do not have a history' while 'what have been called the religions do, in history, change'.[10] The term 'Hinduism', for instance, does not refer to an essence; it is just the name the West has given to a highly variegated complex of facts. In this sense, Cantwell Smith claims, Hinduism as a historical reality cannot be defined and the concept of a 'religion' called 'Hinduism' is entirely inadequate to the historical phenomena.

Cantwell Smith's scepticism about the concept of religion has some in-teresting parallels with Marxist scepticism about the concept of politics. Marxism is sceptical about the concept of politics because Marxism denies that there is a permanent and autonomous feature

of society called 'politics'.[11] More specifically, Marxism denies that politics is a persisting feature of every form of society. It claims, furthermore, that where something that might be described as 'politics' does exist, it is not something that can be studied in isolation from the rest of society. Finally, as a practical programme of reform, Marxism seeks the *abolition* of what others call 'polities'.

For my present purposes the feature of the Marxist position that I want to highlight is the way in which Marxism challenges the fundamental as-sumption of the traditional academic discipline of Politics: viz. that there is a permanent and autonomous feature of all societies which is politics. For Marxists the existence of politics is coterminous with the existence of classes, since politics is the process through which classes with conflicting interests seek to control state power. In this sense politics is necessarily associated with the existence of the state, conceived of as an apparatus of coercion, and the existence of classes. But both the state and classes are comparatively recent phenomena in human history. Moreover Marxism holds that the existence of classes is bound up with certain historical phases in the development of production that will eventually disappear, creating a classless society and hence the abolition of the state.

Marxists, then, are sceptical about the very concept of politics for not so dissimilar reasons to why Cantwell Smith is sceptical about the concept of religion. Both assume that if the concepts are to be intelligible, then there must be some unchanging essence which they pick out; both deny that there is any such essence; and both appeal to considerations of historical change in support of this denial. In other words, a certain shared historicist anti-essentialism can generate a scepticism about the very concepts of religion and politics. I shall argue, however, that a denial of essentialism need not commit us to this kind of scepticism. There is a plausible alternative

philo-sophical account of general terms like 'religion' and 'politics' which does not imply essentialism and hence cannot be used to generate a general scepticism about the concepts of religion and politics.

II

The notion of essence needs to be located with reference to the broader philosophical problem of universals. The concept of an essence was introduced into Western philosophy by Aristotle to answer questions of the form 'What is *X*?'. The answer offered was that any *X* could be defined in terms of its *essence*, where an essence is what a thing is by its very nature, what gives it its identity and makes it what it is (for Aristotle the essence could be identified with substance). Definitions, then, pick out the unchanging properties that constitute the identity of the thing to be defined. Seventeenth century philosophers like Hobbes and Locke saw themselves as breaking with Aristotelianism when they insisted that definitions are not of things, but of names. They sought to rephrase the older question about things ('What is *X*?') into a question about the meaning of words ('What is meant by the term "*X*"? '). In Locke's terminology, they gave up the search for real essences in favour of nominal essences, where the term 'nominal essence' refers to the idea of the property or properties the possession of which justifies the application of a given name.[12]

This project of definition in terms of essential properties connects directly with the traditional problem of universals. Basically this is the problem of whether there are repeatable properties. That is, whether in addition to particular entities, like the two red apples before me, there are also properties, like redness, that such particulars can have in common. *Realists* say there are; *nominalists* say there are not.

The problem of universals is perhaps best posed in ontological terms: what makes a number of particular things all, say, red ? Realists say it is because they all share the common property (or universal) redness. Nominalists deny the existence of such universals, but disagree among themselves as to the details of the correct positive account of the matter. The problem of universeals is also sometimes, less happily, posed in linguistic terms: why do we call a number of particular things all, say, 'red'? Realists say it is because the general term 'red' picks out a common property (the universal redness) shared by all those particulars. Nominalists again deny the existence of this common property, but disagree intramurally about the details of the correct positive account.

One popular nominalist programme is *resemblance nominalism*.[13] The fundamental idea of the programme is that we can substitute for universals a network of resemblance relations between particulars, relations that also admit of degree. There are various proposals on offer about the details of how to construct a resemblance class. Rudolf Carnap suggested we can construct universals as 'similarity circles' of particulars.[14] Such a circle consists of a set of particulars, all of which are more similar to one another than they all are to any one thing outside the set. That is, each non-member of the circle differs more from some member than that member differs from any member.

H. H. Price offered a somewhat different account utilizing the notion of certain standard objects or 'exemplars' such that the resemblance class consists in all and only those particulars which sufficiently resemble the exemplars.[15] W. V. Quine's account is a close relative which utilizes both the notion of certain standard objects ('paradigms') and certain standard non-members of the resemblance class ('foils'). The resemblance class or kind can then be

defined thus: '*the kind with paradigm a and foil b* is the set of all the things to which *a* is more similar than *a* is to *b*'.[16]

More concretely, then, consider the following brief sketch of a resemblance nominalist account of how we might analyze the properties general terms supposedly refer to in terms of a resemblance class of particulars constructed in a special fashion. (This sketch draws heavily on the accounts offered by Carnap, Price and Quine, but is not quite identical with any of them.)

To construct the similarity circle that, say, the property of redness is to be analyzed in terms of we begin with a small set of standard objects: perhaps, as Price suggests, 'a certain tomato, a certain brick and a certain British post-box'.[17] Call these three particulars *A, B* and *C*. Now a red object is any object that resembles *A B* and *C* at least as closely as they resemble each other. An object fails to be a member of the similarity circle of red things if it is less similar to one of the paradigm objects than that paradigm object is to any other paradigm object. (Generally we have available some paradigm non-member, or foil, when constructing a resemblance class, but in theory it would be logically possible for the class to consist of a single member which is the only object in the world. In that case, since resemblance is a reflexive relation, the object would still resemble itself and constitute an attenuated sort of similarity circle.)

A class can have alternative sets of paradigm objects: for the class of red objects, for instance, we might have also 'a certain bit of sealing wax, a certain blushing face and a certain summer sky'.[18] In fact it is normally the case that different people work with different paradigm sets. Again, all that is required is that any member of the class of red things should resemble that set of paradigm objects at least as much as *they* resemble each other. Since resemblance admits of degrees, however, particular members of the class of red things

may cluster more closely around one paradigm rather than another, sometimes encouraging scepticism about the unity of the class.

What is the relevance of all this for the general scepticism about the concepts of religion and politics that we were considering earlier? Basically it is that that general scepticism arises from a misconception about the implications of anti-essentialism. The mistaken assumption was that the concepts of religion and politics can only be intelligible if they pick out some real essence. If there are no such unchanging essential properties, then the concepts pick out nothing at all. But an alternative resemblance nominalist account of how to construct properties in terms of similarity circles of particulars provides us with a more fruitful way of characterizing the concepts of religion and politics. On this view the concepts pick out similarity circles of particular phenomena which resemble each other in different degrees. When we speak of different things having a common property, we need not thereby imply there is one property identically present in all things to which we apply the same word. Rather all we require are similarities between them sufficient to entitle us to use the same word to describe them all.

Moreover the similarity circle model acknowledges the historicity of the notions it analyzes, for the construction of a resemblance class takes place over time and often involves the use of different sets of paradigms. This feature explains the development of notions which involve classes that may seem to lack unity. Take, for instance, the notion *Hinduism*, a notion so difficult to define that some have suggested it to be unintelligible, even appealing to this alleged unintelligibility as evidence of the unintelligibility of the concept of religion itself. I suggest, however, that the term 'Hinduism' picks out a relevant similarity circle of phenomena. The alleged lack of unity of this class of phenomena is a misperception caused by the multiplicity of paradigms around which the similarity circle has been constructed

over time. Accordingly some phenomena within the resemblance class cluster together more closely than others, even though all the phenomena are sufficiently similar to count as members of the similarity circle we call 'Hinduism'. A similar state of affairs obtains, I suggest, for 'religion'. The terms do not need to refer to unchanging essences to be intelligible.

(For an analogy with the way in which a resemblance class can grow over time as new paradigms are added consider the case of Van Meegeren's forged Vermeers. How could such forgeries, many of which do not resemble very closely any known genuine Vermeers, ever have been taken for genuine Vermeers? It is because the relevant perceptual comparison for attributing authenticity was visual similarity between the class of known Vermeers and the class of other paintings. Once a single Van Meegeren had been mistakenly added to the precedent class of known Vermeers the addition of further Van Meegerens was inevitable: for each new Van Meegeren did in turn resemble the successively expanded paradigm set as much as the members of that set resembled each other.[19] Of course, the important difference in the Van Meegeren case is that authenticity requires more than just visual similarity to a set of paradigms.)

The concept of politics also involves a similarity circle of particular phenomena. Once again, failure to recognize the multiplicity of paradigms can lead to fruitless disagreements about the essence of politics, or even to a scepticism about the unity of the class of political phenomena. Thus some people seek to define politics primarily in terms of a *process*, others in terms of an *arena*.[20] The former will correspondingly be led to see politics as a much more generalized process in human societies, whereas the latter will tend to regard politics as confined to certain activities that occur within a special kind of forum (the state, governmental institutions, etc.). But

both sets of paradigm phenomena are part of the similarity circle that constructs the notion of politics and the obvious dissimilarities between some of these phenomena should not be allowed to obscure the existence of a network of relevant similarities which unify the resemblance class.

The resemblance nominalist account of how to construct properties in terms of similarity circles provides us, then, with a more fruitful way of characterizing the concepts of religion and politics than the essentialist programme does. Moreover the account offered undercuts the assumption that the rejection of essences implies a general scepticism about the intel-ligibility of those concepts.

III

The resemblance nominalist account outlined above also has implications for the second kind of scepticism I want to respond to. This restricted scepticism does not deny the general intelligibility of the concepts of religion and politics. Rather it just denies their applicability to the classical Indian context because there are no precisely equivalent Sanskrit categories and terms. Thus Gerald Larson, for instance, claims: 'The notion of "religion" in South Asia derives largely from Islamic and Christian traditions and has no precise analogue in South Asia prior to the coming of Islam. Moreover, the linkage of the notion of "religion" with the notion of "Hindu" is also problematic.'[21] Self-avowedly following the Rudolphs and Frykenberg on this, Larson declares himself 'inclined to agree that notions such as the "Hindu majority", Hindu religion and "Hinduism" are largely an "artifact of categorization" that have generated a variety of conceptual muddles and have tended to direct our studies into "trackless deserts of nonsense"'.[22]

Now it is plausibly true that there are no *precisely equivalent* Sanskrit categories and terms for a number of Western concepts and categories, including perhaps religion and politics.[23] But this should be no cause for alarm. This sort of restricted scepticism about the applicability of the concepts of religion and politics to the Indian context assumes far too stringent requirements have to be satisfied for the concepts to be able to be counted as instantiated in India. All we need philosophically are instances of Sanskrit notions sufficiently close to form part of the relevant similarity circles which construct the concepts of religion and politics.

Plausibly the relevant Sanskrit notions are *artha* and *dharma* for politics, and *moksa* and *dharma* for religion. Then the question about the traditional relation of religion and politics in India becomes the question of how these three Sanskrit notions are related. I shall only concern myself, however, with the more specific question of how these Sanskrit notions are related according to the classical Indian philosophers. The short answer is that the classical tradition is not monolithic: different philosophers give different answers.

First of all, a preliminary remark about what I shall be counting as 'classical Indian philosophy'. Predictably enough, I follow well-established precedent and include within the scope of the term the classical *darśanas* (here especially Mīmāmsā and Vedānta); also the *Bhagavadgītā*. However, since we are obviously concerned here with classical Indian social and political philosophy, I shall count as philosophical texts too the relevant portions of the Dharmaśāstras and the *Arthaśāstra*.

The classical Indian philosophers so understood, then, give different answers to the question of the relation of religion and politics. One answer emphasizes the continuity of religion and politics. This is the position of the Dharmas'astras and of the

Arthaśāstra. According to this view *dharma* is the key political notion since *artha* serves *dharma*; but *dharma* leads inexorably to *moksa*. Thus there is a natural continuity between politics and religion.

The Hindu political philosophers, for instance, acknowledged that the religious goal *of moksa* is the ultimate end of human activity, but also insisted that *artha* and *dharma* are legitimate intermediate worldly goals which, if properly pursued, lead to *mokṣa*.[24] Thus the *Arthaśāstra* acknowledges *artha* or material wealth as an important instrumental value insofar as it enables the performance of *dharma* and the enjoyment of pleasure (*kāma*). However, it is *dharma* that is the superior value, for it is the way to heaven and salvation:

[The observance of] one's *dharma* leads to heaven and eternal bliss. When *dharma* is transgressed, the resulting chaos leads to the extermination of this world. Whoever upholds his own *dharma*, adheres to the customs of the Aryas and follows the rules of the *varnas* and the stages of life, will find joy here and in the hereafter. For the world, when maintained in accordance with the Vedas, will ever prosper and not perish. Therefore, the king shall never allow the people to swerve from their *dharma*.[25]

Accordingly the king's duty is to maintain the order and stability necessary for the people to promote their economic well-being and practise *dharma*. Such order is upheld by proper use of *daṇḍa* ('the rod'), i.e. by the just use of force to punish breaches of the rules of dharma: 'The people of a society, whatever their *varna* or stage of life, will follow their own *dharma* and pursue with devotion their occupations, if they are protected by the king and the just use *of danda* [coercion and punishment]'.[26]

The content of a person's particular *svadharma* is determined, of course, by his or her caste and stage of life, as laid down in the Dharmaśāstras.[27] The idea that the practice of *dharma* leads naturally

to the attainment of *mokṣa* is there connected with the *āśrama* schema: the exclusive pursuit of *mokṣa* is placed at the end of life after a lifetime of selfless practice of one's *dharma* has enabled the cultivation of the requisite self-discipline and detachment. Indeed the *Manusmṛti* goes so far as to insist:

A man who has gone from one stage of life to another, made the offerings into the fire, conquered his sensory powers, exhausted himself by giving alms and propitiatory offerings, and then lived as a wandering ascetic — when he has died, he thrives. When a man has paid his three debts, he may set his mind-and-heart on Freedom [*mokṣa*]; but if he seeks Freedom when he has not paid the debts, he sinks down. When a man has studied the Veda in accordance with the rules, and begotten sons in accordance with his duty, and sacrificed with sacrifices according to his ability, he may set his heart-and mind on Freedom. But if a twice-born man seeks freedom when he has not studied the Vedas, and has not begotten progeny, and has not sacrificed with sacrifices, he sinks down.[28]

According to this traditional Indian view, then, religion is continuous with politics since *artha* subserves *dharma* and *dharma* is continuous with *mokṣa*. In other words, the tradition of the Dharmaśāstras and the *Arthaśāstra* seems to favour the assimilators' picture of traditional Indian thinking about the relation of religion and politics. Moreover the assimilators' picture seems also consonant with the somewhat different theory presented in the *Bhagavadgītā*, where once again political action is understood in terms of *dharma*. There, however, *mokṣa* itself is in turn defined in terms of *dharma*: specifically, one's caste-duty (*svadharma*) performed with the correct attitude of detachment (*niṣkāma-karma*). As Kṛṣṇa puts it:

By [doing] the work that is proper to him [and] rejoicing [in the doing], a man succeeds, perfects himself.... Better [to do] one's own

[caste-] duty, though devoid of merit, than [to do] another's, however well-performed.... Never should a man give up the work to which he is born, defective though it may be: for every enterprise is choked by defects, as fire by smoke.[29]

But this is not the only view of the relation of religion and politics that is present in classical Indian philosophy. Common to the distinct views of the Dharmasastras and the *Arthaśāstra* on the one hand, and the *Bhagavadgītā* on the other, is the assumption of an internal relation between *dharma* and *mokṣa* and thus between politics and religion. This assumption is challenged by various Indian philosophers, with an alternative answer emphasizing the opposition between *dharma* and *mokṣa*.[30]

One variant on this is the Prābhākara Mīmāmsā position that *dharma* is an intrinsic value, an end and not a means. Virtue consists in practising *dharma* for its own sake, not for the sake of any benefits (like *mokṣa*) that might accrue to the agent.[31] The Prabhakara school then identifies *dharma* with the performance of the obligatory actions (*nitya-karma*) and the avoidance of the forbidden (*pratiṣiddha-karma*), where what is obligatory and forbidden is determined by the Vedic injunctions. In this sense, then, *dharma* and *mokṣa* are not continuous, and hence neither are politics and religion.

The Prābhākara position, however, is very much a minority opinion in the Indian tradition. The great Advaitin philosopher Śaṃkara famously criticizes as psychologically implausible the implication that free virtuous action has no end in view. Moreover, Śaṃkara argues, on the Prābhākara view duty becomes a drudgery, since performance of it means toil and non-performance means future suffering.[32] Far more influential in the Indian tradition is Śaṃkara's own position, which sharply opposes *dharma* and *mokṣa*, arguing that the

demands of *dharma* are not binding on the seeker of *mokṣa* (the *saṃnyasin*).

This opposition between *dharma* and *mokṣa* is a logical consequence of the metaphysics of Advaita Vedānta. According to Advaita, *mokṣa* is just the realization of the essential identity of the self (*ātman*) and the Absolute (*Brahman*). But this implies *mokṣa* is a state of nonduality, whereas all action presupposes a duality between self and other. Thus *mokṣa* precludes action and hence also *dharma*, with its concern for obligatory and forbidden actions. Śaṃkara himself puts it this way in the *Upadeśasāhasrí*:

In fact action is incompatible with knowledge [of *Brahman*], since [it] is associated with misconception [of *Ātman*]. And knowledge [of *Brahman*] is declared here [in the Vedanta] to be the view that *Ātman* is changeless. [From the notion] 'I am agent; this is mine' arises action. Knowledge [of *Brahman*] depends upon the real, [whereas] the Vedic injunction depends upon an agent. Knowledge destroys the factors of action as it destroys the notion that there is water in the salt desert. After accepting this true view, [how] would one decide to perform action? Because of the incompatibility [of knowledge with action] a man who knows thus, being possessed of this knowledge, cannot perform action. For this reason action should be renounced by a seeker after final release.[33]

Śaṃkara does allow for the legitimacy of the demands of *dharma* on those still enmeshed in the worldly life. But for the renunciate *saṃnyasin*, who recognizes no distinctions, *dharma* and its injunctions have no authority. The knowledge of *Brahman* puts an end to all activity, including even religious ritual:

For Self-knowledge is inculcated through the obliteration of the very cause of rites, viz. the consciousness of all its means such as the gods. And one whose consciousness of action, its factors and so

forth has been obliterated cannot presumably have the tendency to perform rites, for this presupposes a knowledge of specific actions, their means and so on. One who thinks that he is Brahman unlimited by space, time, etc. and not-gross and so on has no room for the performance of rites.[34]

Śaṃkara is, of course, completely rejecting the older Indian view that *mokṣa* is attained by a combination of knowledge and action (*jñānakarmasamuccaya*). Other Vedāntin philosophers are not quite so radical, but they too in a sense see *dharma* and *mokṣa* as opposed. Rāmānuja, for instance, agrees with Śaṃkara that liberation cannot be attained by the fulfilment of the obligations of *dharma*, thus denying the continuity of *dharma* and *mokṣa*. But Rāmānuja also allows a place for *dharma* on the path to *mokṣa*. His motivation here is theistic: he wishes to insist that liberation is dependent on God's grace and hence cannot be a direct effect of our actions. However, actions performed as divine worship may indirectly lead to release thanks to the grace of God: 'for works enjoined by Scripture have the power of pleasing the Supreme Person, and hence, through his grace, to cause the destruction of all mental impressions obstructive of calmness and concentration of mind'.[35] The knowledge of *Brahman* that the scriptures say leads to liberation is identified with meditation and meditative worship.

Although Rāmānuja thus denies that action can be a direct cause of release, he still insists (contrary to Śaṃkara) that one should never abandon the obligatory actions (*nitya-karma*) enjoined by *dharma*. However, he also concedes that these actions have no significance in themselves; it is the (devotional) intention of the agent that counts, not the result of the action. Thus he distinguishes his own position from the Mímāṅsa view that the end of life is the performance of (ritual) duty: 'Knowledge of that [devotional] kind has not the most remote connexion even with works [in the Mímāṅsa sense]'.[36]

Common to the different positions of Prābhākara, Śaṅkara and Rāmānuja is the rejection of the assumption of the continuity of *dharma* and *mokṣa*, and hence of politics and religion. In the case of Śaṅkara, we instead have a particularly sharp opposition of *dharma* and *mokṣa*, with variations of this position also maintained by other Vedāntins. This is the renunciant tradition, which stresses the opposition of politics and religion. Obviously it is a textual tradition that favours the separatists' picture of traditional Indian thinking about the relation of religion and politics.

IV

We can distinguish, then, two major strands of thought on the issue of religion and politics in the classical Indian philosophical tradition. One strand favours an internal relation of some sort between religion and politics. This is the view of the political theorists, of the Dharmaṣāstrins, and of the *Bhagavadgītā*. The other strand favours an opposition of some sort between religion and politics. This is especially the view of the Advaitins, but also of some other Vedāntins.

Both strands continue into the medieval period. The Islamic invasion, however, introduces into India a rather different picture of the relation between religion and politics; so too does British colonial rule. But with the Hindu Renaissance we see the revival of both of the main classical strands in the work of the major Hindu 'philosophers' of the subsequent period. Thus Gandhi takes the position that religion and politics are internally related, explicitly drawing on the tradition of the Dharmaśāstras and the *Gītā*. Aurobindo, on the other hand, renounces his political activities to pursue his yoga practice and compose his Vedāntin influenced philosophical writings, apparently accepting that religion and politics are in opposition.

(Vivekananda may perhaps be represented as attempting a synthesis of the two classical traditions.)

The relevance of all this to the present scholarly debate about the traditional relation of religion and politics in India is obvious. However, it is perhaps particularly worth stressing its significance for the claim that contemporary attempts to oppose religion and politics in India are entirely a colonialist imposition incompatible with the indigenous tradition. The classical Indian philosophical tradition seems to offer at least two major strands of thought on the relation of religion and politics: according to one the two notions are continuous (just as the assimilators claim), according to the other the two notions are opposed (just as the separatists claim). Both positions are authentically indigenous and both predate colonial influence. In other words, there is no *one* Indian perspective on the issue.[37]

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[1] See, for instance, Carol A. Breckenridge and Peter van der Veer (eds.), *Orientalism and the Postcolonial Predicament: Perspectives on South Asia* (Philadelphia: University of Pennsylvania Press, 1993); Susanne Hoeber Rudolph and Lloyd I. Rudolph, 'Modern Hate' *The New Republic* March 22, 1993, pp. 24–29.

[2] Louis Dumont, *Homo Hierarchies*, rev. ed. (Chicago: University of Chicago Press, 1980).

[3] J. C. Heesterman, *The Inner Conflict of Tradition* (Chicago: University of Chicago Press, 1985).

[4] A. M. Hocart, *Caste: A Comparative Study* (London: Methuen, 1950).

[5] Nicholas B. Dirks, *The Hollow Crown: Ethnohistory of an Indian Kingdom* (Cambridge: Cambridge University Press, 1987); 'The Original Caste: Power, History and Hierarchy in

South Asia' in McKim Marriott (ed.), *India Through Hindu Categories* (London: Sage Publications, 1990).

6 Ronald Inden, *Imagining India* (Oxford: Basil Blackwell, 1990).

7 T. N. Madan, 'Secularism in its Place' *Journal of Asian Studies* 46 (1988): 747–760; Ashis Nandy, 'An Anti-Secular Manifesto' in John Hick and Lamont Hempel (eds.), *Gandhi's Significance for Today* (London: Macmillan, 1989).

8 McKim Marriott (ed.), *India Through Hindu Categories* (London: Sage Publications, 1990).

9 Wilfred Cantwell Smith, *The Meaning and End of Religion* (New York: Mentor, 1963), especially Ch. 5.

10 Cantwell Smith, p. 130.

11 For a lucid presentation of the Marxist position see Alex Callinicos, 'Marxism and Politics' in Adrian Leftwich (ed.), *What is Politics*? (Oxford: Basil Blackwell, 1984).

12 There are some interesting parallels between this Western philosophical project of definition in terms of essential properties and Indian philosophical treatments of definition (especially in Navya-nyāya): see Bimal Krishna Matilal, *Logic, Language and Reality* (Delhi: Motilal Banarsidass, 1985), pp. 164–202; Frits Staal, *Universals: Studies in Indian Logic and Linguistics* (Chicago: University of Chicago Press, 1988), Ch. 4.

13 Popular, but by no means universally accepted. For some criticisms of the theory see, for instance, D. M. Armstrong, *Nominalism and Realism* (Cambridge: Cambridge University Press, 1978), pp. 48–57; *Universals: An Opinionated Introduction* (Boulder: Westview Press, 1989), pp. 49–58.

14 Rudolf Carnap, *The Logical Structure of the World* (London: Routledge & Kegan Paul, 1967), sections 70–73. (The German original of this work was published in 1928 as *Der Logische Aufbau der Welt.*)

15 H. H. Price, *Thinking and Experience* (London: Hutchinson, 1953), Ch. 1.

16 W. V. Quine, *Ontological Relativity and Other Essays* (New York: Columbia University Press, 1969), pp. 119–120.

17 Price, p. 20.

18 Price, p. 22.

19 Cf. Nelson Goodman, *Languages of Art*, 2nd ed. (Indianapolis: Hackett, 1976), pp. 109–111.

20 Adrian Leftwich, 'Introduction: On the Politics of Politics' in Leftwich, *What is Politics?*, p. 10.

[21] Gerald James Larson, 'Discourse about "Religion" in Colonial and Postcolonial India' in Ninian Smart and Shivesh Thakur (eds.), *Ethical and Political Dilemmas of Modern India* (London: Macmillan, 1993). p.181.

[22] Larson, p. 184. The works by the Rudolphs and Frykenberg to which Larson refers are: Lloyd I. and Susan H. Rudolph, *In Pursuit of Lakshmi* (Chicago: University of Chicago Press, 1987); Robert Eric Frykenberg, 'The Emergence of Modern "Hinduism" as a Concept and as an Institution: A Reappraisal with Special Reference to South India' in G. D. Sontheimer and H. Kulke (eds.), *Hinduism Reconsidered* (Delhi: Manohar, 1991).

[23] For an interesting cross-cultural discussion of two important terms see Hajime Nakamura, 'The Meanings of the Terms "Philosophy" and "Religion" in Various Traditions' in Gerald James Larson and Eliot Deutsch (eds.), *Interpreting Across Boundaries: New Essays in Comparative Philosophy* (Princeton: Princeton University Press, 1988).

[24] Useful studies of Indian political theory include: D. Mackenzie Brown, *The White Umbrella: Indian Political Thought from Manu to Gandhi* (Berkeley: University of California Press, 1953); John W. Spellman, *Political Theory of Ancient India* (Oxford: Clarendon Press, 1964); U. N. Ghosal, *A History of Indian Political Ideas*, corrected ed., (London: Oxford University Press, 1966); Beni Prasad, *Theory of Government in Ancient India*, 2nd revised ed., (Allahabad: Central Book Depot, 1968).

[25] *Arthaśāstra* 1.3.14–17; *Kautilya: The Arthashastra*, ed. & trans. L.N. Rangarajan (New Delhi: Penguin Books, 1987), pp. 107–108.

[26] *Arthaśāstra* 1.4.16; Rangarajan, p. 99.

[27] On the details of the *varṇāśrama-dharma* schema see, for instance, *Arthaśāstra* 1.3.5–13; *Manusmrti* 2–6, 10. A magisterial study of the Dharmaśāstras is P. V. Kane, *History of Dharmaśāstra*, 2nd ed. (Poona: Bhandarkar Oriental Research Institute, 1968–75). See also Robert Lingat, *The Classical Law of India* (Berkeley: University of California Press, 1973).

[28] *Manusmṛti* 6.34–37; Wendy Doniger and Brian K. Smith, trans., *The Laws of Manu* (London: Penguin Books, 1991), pp. 120–121.

[29] *Bhagavadgítā* 1845–48; R. C. Zaehner, *The Bhagavad-Gítā* (Oxford: Clarendon Press), pp. 106–107.

[30] On this issue see J. A. B. van Buitenen, '*Dharma* and *Mokṣa*' *Philosophy East and West* 7 (1957): 33–40; Daniel H. H. Ingalls, '*Dharma* and *Mokṣa*' *Philosophy East and West* 7 (1957): 41–48.

[31] Cf. M. Hiriyanna, *Indian Conception of Values* (Mysore: Kavyalaya Publishers, 1975), pp. 210–217. For a general reconstruction of the Prābhākara school of philosophy see Ganganatha Jha, *The Prābhākara School of Pūrva Mímāmsā* (Delhi: Motilal Banarsidass, 1978).

[32] *Bhagavadgítābhāsya*, 3.1; 4.18.

[33] *Upadeśasāhasri* I.i. 12–15; Sengaku Mayeda, *A Thousand Teachings: The Upadeśasāhasri of Śaṅkara* (Albany: State University of New York Press, 1992), p. 104.

[34] *Bṛhāraṇyakopaniṣadbhāsya* I.i; Swāmí Mādhavānanda, trans., The *Bṛhadāraṇyaka Upaniṣad: with the Commentary of Śaṅkarācārya*, 7th ed. (Delhi: Advaita Ashrama, 1988), p. 36. See also I.i.7: '... there is no scope for human activity as in the case of the new and full moon sacrifices etc., because that knowledge puts a stop to all activity' (Madhavananda, p. 89).

[35] *Śríbhāsya*, 3.4.27; George Thibaut, trans., *The Vedānta-Sūtras with the Commentary by Rāmānuja* (Delhi: Motilal Banarsidass, 1971), p. 701.

[36] *Śríbhāsya*, 3.4.12; Thibaut, p. 692.

[37] This essay had its origins in a talk I gave at the 1995 'Religion and Politics in South Asia' conference held at Raetihi Lodge, Marlborough Sounds with financial support from the Asia 2000 Foundation. I would like to thank the members of 'The Raetihi Group' for their comments on my talk and for the stimulus of their conversation over that weekend. My special thanks to Bo Sax for inviting me to the conference and for setting out so sharply for me the lines of the debate to which this essay is a response.

A.C.S. McDERMOTT

TOWARDS A PRAGMATICS OF MANTRA RECITATION

I. INTRODUCTION

This paper purports to investigate certain ritualistic acts of mantra recitation in the light of their family resemblances to more familiar everyday speech acts (such as promising, pardoning, naming, etc.), without thereby intending to minimize the differences between the ritual and the quotidian varieties of speech act or to suggest the reducibility without residue of the religious rites under consideration to the mere stipulation of a list of necessary and sufficient conditions for performing the speech acts which they contain.

Charles Morris' well known but not unproblematic trifurcation of semiotic into syntax, semantics and pragmatics, spawned a stepchild in the last member of the triad, which has only recently begun to receive the attention linguistic theory has long since accorded its siblings. That this attention was overdue was the consensus reached by the participants in the 1970 Jerusalem Symposium on Pragmatics of Natural Languages.[1] On the other hand, though there was agreement that the study of speech acts fails within its domain, questions as to the general lineaments, and proper sphere of application (much less the specific structural details) of the desiderated pragmatic theory remained (and continue to remain) very much open. Thus with full awareness that no description of the nature and content of pragmatics hazarded at present is likely to escape controversy, we provisionally adopt the following

characterization of the field given by Stalnaker, on grounds of its clarity and breadth:

Pragmatics is the study of linguistic acts and the contexts in which they are performed. There are two major types of problems to be solved within pragmatics: first, to define interesting types of speech acts and speech products; second, to characterize the features of the speech context which help determine which proposition is expressed by a given sentence.[2]

This analysis focuses on a species of the first type of problem. It comprises a step in the direction of an explication of the illocutionary act(s) of mantra recitation, emploving as an Ariadne's thread the corpus of empirical material compiled by Stephan Beyer on the role of mantras in certain Tibetan Buddhist Tārā rituals,[3] and investigating and ordering this material via an adaptation of analytic techniques inspired by those of John Austin and John Searle.[4]

The programmatic nature of what follows is obvious enough; our exploration merely essays to provide a better perspective for assessing the feasibility and value of a *general* theory of ritual and religious utterances, one in which the formal apparatus central to, e.g., Richard Montague's systematization might perhaps find fruitful application. Without preliminary clarification behind us, however, it would be precipituous to attempt to decant the heady blend of conflicting varietals of descriptive data into the not yet fully blown bottles of formal theory.

This is not to denigrate the results of scholarly efforts of the past ten years, which have done much to make apprehensible to the non-initiate the multiplicity of types of mantras and their functionings — both within and beyond the context of rigorously structured ritual. But the best of these studies have been primarily Buddhological,

philological or ethnological in their orientation — the philosophical and semiotic pay dirt has been unearthed only incidentally, if at all.

There is, of course, the already mentioned seminal undertaking of Beyer which, among many other things, alludes to, but does not extensively develop Dorothy Emmet's suggestive remarks on the 'performatory' (or 'performative') nature of certain words which figure in religious rituals.[5] Jan Gonda's philologically tinted taxonomy of the Indian mantra,[6] incorporating Hindu and Avestan, as well as Budhist sources, also comes to mind. Too, A. Bharati gives the subject a thorough going over within the compass of his brilliant investigation of tantra as a whole, and, although his approach is avowedly that of the "cultural anthropologist with a strong linguistic predilection,"[7] his diachronic tracings of particular mantras, his categorization of their purposes, etc., are not without relevance to our philosophical concerns, nor are his somewhat optimistic comments on the possible utility of the conceptual tools of analytic philosophy for the furtherance of research in this area. His optimism, however, is not well served by his distorted view of the aims and methods of contemporary philosophy of language, to the extent that his subsequent attempt to define mantra, reflects (and is flawed by) his unconscious adherence to a legacy of overly restrictive philosophical presuppositions. His definition runs as follows:

A *mantra* is a quasi-morpheme or a series of quasi-morphemes, or a series of mixed genuine and quasi-morphemes arranged in conventional patterns, based on codified esoteric traditions, and passed on from one preceptor to one disciple in the course of a prescribed initiation ritual.[8]

Bharati has here given us the mere surface shape and provenance of the utterance *object*, i.e., *what is uttered* in the act of reciting a mantra, rather than attempting to define (as I think Austin and others

have very persuasively argued it is *crucial* to define) *the total speech act in the total situation* — viz., the reciting or muttering (Skt. *japa*) as such, paying special attention to the forces which are the invariable concomitants of that *act* of recitation.[9]

Finally, mention must be made of Benjamin Ray's "Performative Utterances in African Rituals,"[10] which accurately records and provides examples for the later Austin's three-aspected analysis of speech acts (see footnote 9), then goes on to apply Austin's notion of illocutionary forces to the ritual language of the Dinka of southern Sudan and the Dogon of central Mali. Despite this auspicious beginning, throughout the body of Ray's study, Ethnology tweaks and turns a waxen-nosed Lady Philosophy where it will, and, under cover of the resultant nimbus of woolliness, relegates all the interesting facets of a given sentence-utterances's illocutionary force to the rather nebulous category of meaning. Now, while meaning as circumscribed by semantic rules (and it is not at all clear whether this is what Ray has in mind) undeniably partially *determines*, it usually *does not exhaust*, an utterance's illocutionary force.[11] What remains falls outside the boundaries of *semantics*, and, in particular, it is part of the business of *pragmatics* to account for the difference between what a sentence means literally and what a speaker means (viz., the illocutionary force inherent) in the uttering of that sentence in a certain context.[12]

II. THE ILLOCUTIONARY ACT(S) OF MANTRA RECITATION

In order to avoid subsequent misunderstanding, it is important at the outset of our analysis to distinguish the recitation of a given mantra in a predelineated context, as the actual performance of an act of a certain kind, from the use of *sandhyābhāsā* (a special esoteric

intentional metalaguage), wherein the performance of that act is merely described.[13] Nor is the illocutionary act of mantra recitation to be identified *tout court* with that of praying, though one can surely cite specific instances of mantras being made to function as prayer[14] or as a prolegomena to prayer.[15]

Now for the stipulation of a set of conditions, each one of which is necessary and their conjunction sufficient for the successful performance of our chosen paradigm, the sequence of illocutionary acts consisting of two recitations of the mantra F_1 with, in turn, 'contemplative' (R_1) and 'evocative' (R'_1) illocutionary force.[16] As a heuristic aid, the conditions are tentatively grouped into different subsets, though there will be minor overlaps.

A. Exordium: Circumstances (C_1 and B_1) and Persons (U_1, H_1 and P_1) Appropriate.[17]

(1) Normal input and output conditions obtain. Here we have in mind the usual *global* presuppositions (C_1) of any kind of serious linguistic communication. Following Searle, who gives an open ended enumeration, these include:

that the speaker and hearer both know how to speak the language; both are conscious of what they are doing; the speaker is not acting under duress or threats; they have no physical impediments to communication such as deafness, aphasia or laryngitis; they are not acting in a play or telling jokes, etc.[18]

(2) *Special* conditions (B_1), viz., those specifically determinative of the particular ritual context, obtain. These include aptness of time, place, concomitant gestures (mudrās), images, rosaries, maṇṇḍalas, offerings, etc.[19]

(3) U_1, the utterer(s) (or reciter(s)) of the mantra has (have) proper 'charisma'. This unpacks into a number of indispensable attainments of the following sort on the part of the reciter(s): (a) purgation, (b) proper *moral* basis, (c) requisite practical skill(s), (d) adequate *intellectual* grounding, (e) status of *an initiate* in an esoteric tradition or cult, T_1, etc. The auditor(s) (H_1) must also be of sufficiently advanced spiritual, intellectual, etc. standing; likewise the preceptor (P_1) under whose auspices U_1 's initiation into T_1 takes place, and who imparts the mantra to U_1, must be duly qualified and authorized.[20] Failure to comply with any of these preliminary strictures in the performance of the purported speech act, renders it *null.*[21]

B. The *Existence* of an *Accepted* Conventional Procedure.[22]

(1) U_1 has received the formula F_1 from a preceptor P_1 of tradition T_1. (I.e., the sine qua non of the efficacy of any mantra is 'permission of speech', namely, that the mantra be imparted to the disciple by one who is duly certified to do so and who pays meticulous attention to the minutiae of its proper transmission;[23] the rules (phonological, syntactic, semantic and pragmatic) of the custodian-donor tradition both *constitute* and *regulate* the structure and the correct and sincere ritual employment of its mantras, by and for that tradition's initiates.)

C. *Correct* and *Complete* Execution of the Procedure.

(1) U_1, uttering F_1 in the presence of H_1, expresses that p_1. Following Searle, we want here to isolate the *propositional content*

(p_1), if any, of the speech act explicated.[24] The trouble is that in a good many instances of mantra-utterance, whether or not what is expressed is a proposition is not so easy to ascertain. For one thing, an esoteric tradition's rules pertaining to phonological, syntactic and semantic *formation* and *interrelation*, are at the same time also rules of *encryption* — at once signal devices for permitting and for obstructing communication, depending on whether one occupies a position inside or outside the tradition.[25] For another, the contextual factors (the 'pragmatics') of the situation have bearing not only on the force with which a proposition is expressed, but, to an extent, on the proposition itself (and the process of exhuming these factors has, in the present case, obviously just begun).

Nonetheless, however, exotic their phonology, syntax and semantics and pragmatics, it is fair to say that for many cultic formulae, the 'propositional content' of what is being uttered is ultimately comprehensible, at least to the adequately prepared devotee. In the case at hand, in uttering F_1, U_1 simultaneously expresses, apprehends and dissolves himself in the pervasive truth *śūnyatā* (emptiness, voidness).[26] (Granted this 'truth' is, in a strict sense, transpropositional, beyond the reach of language, yet these arcane formulae are especially empowered to approach *śūnyatā* asymptotically as a limit. Thus, in a not unduly attenuated sense, we can say that what T_1's various formulae express, is supposed to have *śūnyatā* as root signification and *true* as its truth value.)[27] As for how what is expressed in uttering F_1 relates to other propositional contents, in particular those of ordinary speech, quite simply, it engulfs them, dissolving them. It is the *aqua regia*, so to speak, of all mundane propositional contents, revealing their merely provisional status for what it is.

It is perhaps more perspicuous to represent symbolically the successive recitations of F_1 being analyzed as $R_1(p_1)$ and $R_1(p_1')$, respectively, where R_1 and R_1' are the illocutionary forces alluded to in footnote 16, of this paper, and p_1 is the common propositional content of the sequence of speech acts.[28]

(2) In expressing that p_1, U_1 predicates an instantaneously following state S_1 of U_1. Here the state S_1 is an empowered state. (one which, it goes without saying, the participants do not assume will transpire in any case in the normal course of events.) For, dissolution into the 'womb' of emptiness in the recitation of F_1 (p. 8 above) means U_1's absorption in the unity of this all-pervasive matrix; and, in his understanding of the "Innate Union of appearance and Emptiness" (Beyer, p. 80), U_1 becomes a transformer through which divine power can flow and be recanalized.

(3) U_1's recitations of F_1 prior to $R_1'(p_1)$ number n_1 (n_1 apositive integer). In the Tārā rituals, a devotee must first have acquired power to set about various ritual activities by "having performed the ritual service ... the requisite number of times and for the requisite length of time." (Kongtrü rinpoch'e as quoted by Beyer on p. 243) 'Effectuation' of the mantra (i.e. 'evocation' of the goddess, in symbols, $R_1'(p_1)$), must be preceded by a ritual service of 100,000 recitations of the mantra during which time contemplation ($R_1(p_1)$) repeatedly takes place. (For further details see Beyer, p. 37.)[29]

(4) Neither $R_1(p_1)$ nor $R_1'(p_1)$ is flawed by the occurrence of any one of T_1's catalog of j_1 'infelicities' or faults (j_1 a positive integer).[30]

D. Participants Sincere

(1) U_1, H_1 and P_1 have not only assimilated and comprehended Buddhist metaphysics (see footnote 20-d) they also *believe* in it. They are subscribers in good standing to the *truth* of the doctrine of emptiness and all that it entails, including the possibility of empowerment (S_1) in the course of dissolution into emptiness.[31]

(2) U_1 *intends* to achieve S_1.

(3) U_1 intends that the n_1 iterated utterances of F_1 will place him in a condition of committed receptivity for S_1 — in other words, that the *japa* or reciting of the mantra again and again will 'turn on' U_1 for the introjection of Tārā's power — and that this accords with the recognized preferences of H_1.[32] This is the *essential* or most salient characteristic of R_1 (p_1), the recitation of the mantra with *contemplative* illocutionary force. Quite apart from the cumbersomeness of the phrase "recitation with contemplative illocutionary force," there is a certain incongruity in the juxtaposition of its last three words. In this case, unlike the case of words well-entrenched in English and geared to the description of speech acts which transpire regularly in Anglo-American culture, there exists no single English explicit performative verb which corresponds exactly to R_1 (p_1), the act under explication, and from which we can derive a name for that act's illocutionary force (R_1); nor does $R_1(p_1)$ fit tidily under any one of the subcategories of Austin's preliminary classification of such explicit performatives (Lecture XII of *How to Do Things with Words*). Rather, limiting ourselves for the moment to Austin's scheme, R_1 (p_1) would seem to be a composite 'exercitive-commissive' in that it both opens up redirection of the flux of powers and commits the speaker to a certain course of action.[33]

(4) U_1 further intends that the (n_1 + l)st utterance of the mantra will *effectuate* the mantra, i.e., will commit him as transformer to the

recanalization of S_1 (already acquired in D-3) beyond and in front of himself, 'in' the heart of the deity, whose ego U_1 has exchanged for his own. This is again, in accordance with the recognized perferences of H_1. And this is the *essential* characteristic of R_1 (p_1), the recitation of the mantra with *evocative* (R_1') illocutionary force.[34]

We could here append as a fifth 'D' condition the following: U_1 intends that the utterance of F_1 will produce in H_1 a belief that conditions D-2 to D-4 obtain by means of the recognition of the intention to produce that belief, and he intends this recognition to be achieved by means of the recognition of the mantra as one conventionally used (i.e., within T_1) to produce such beliefs. Aesthetic fastidiousness aside,[35] Searle's reasons for hesitating to confer autonomous status on this condition seem to us irresistibly strong — viz., it is superfluous because implied by A-l and A-2. listing it outright (as Searle nevertheless does) only serves to underscore the pivotal role of recognized intention in uttering something and meaning it.

Subject, then, to certain refinements and qualifications (to be discussed immediately below), we terminate our list of conditions with the following *Cover-all* Condition: Given that U_1 utters a formula F_1 in the presence of auditors H_1, then U_1 sincerely and correctly performs the sequence of illocutionary acts R_1 (p_1) and $R_1'(p_1)$ if and only if conditions A through D obtain.

Next following Montague,[36] we might go on to specify that the 'point of reference' in the case undergoing explication is a 13-tuple, consisting of the following 13 *relevant* parameters: U_1, H_1, P_1, T_1, F_1, C_1, B_1, R_1, R_1, p_1, S_1, n_1 and j_1. Exercising parsimony one could doubtless weed out certain redundancies, but then our formulation makes no claim to elegance or finality. Its forte, if any, is rather like

that of a good decongestant; the passageway to a more general theory is hopefully a little less clogged as a consequence of this precursory exploration of a special case.

A comment before taking up the subject of the *perlocutionary* effects of R_1 (p_1) and R_1'(p_1) and generalizing therefrom. Though adetailed examination of the loudness, stress-patterns, intonation, tone, etc. of our analysandum is beyond this paper's scope[37], these factors — of paramount importance in determining both the import and the impact of a mantra as uttered — have been the subject of painstaking investigation and lively debate ever since Vedic times; (and, in view of the widespread conviction that a mantra is the sonic reverberation of divine power,[38] it is hardly surprising that quality control of its components cannot be left to the caprices of the individual reciter.) Keeping this in mind, we turn again to the 'japing' or 'reciting' of the mantra, this time, for the sake of greater accuracy with respect to the parameter of *loudness*. The decibel range over which the recitation can vary is enormous: all the way from total inaudibility or subvocal rumination upwards to corporate (and sometimes cacophonous) din, the mantra's potency or spiritual value being, as a general rule, inversely proportional to the magnitude of its decibel rating. Often enough the actual verbal recitations of a ritual are preceded by silent visualizations in tandem with special patterns of breathing; these are no less recitations (and indeed are so regarded by the devotees). In still other situations, the mantra is repeatedly and monotonously 'japed' *spontaneously* (i.e., in complete divorcement from ritual context),[39] and this activity may be voiceless or not. It seems to me, however, that none of the foregoing serves to cast dubiety on the status of R_1 (p_1), R'(p_1) and their congeners, which, subvocal or not, are unquestionably bona fide speech acts.

III. PERLOCUTIONARY EFFECTS OF MANTRA RECITATION

We close with a few words on the fruits or issue of a successful recitation, a matter which bears directly on our central topic. In contradistinction to the *illocutionary* act or act performed *in* saying something, "the *perlocutionary* act is the achieving of certain effects *by* saying something." (I.e., once the illocutionary act has taken effect, various aims and purposes, and perhaps other *unintended* consequences, may be brought about or occur.)[40] In the case of mantra recitation, even were we to limit ourselves to a consideration of the possible consequential effects of $R_1 (P_1)$ and $R_1'(P_1)$ alone, a catalog of these approaching completeness, would cause Leporello himself to falter. For U_1, having exchanged his own ego for that of the deity "*is* the deity, and gains thereby godlike magical attainments to understand and control reality,"[41] and the answer to the question, 'What does the yogin do with his divinity?' is simply this: "he does anything he wishes. He may control the events of public nonreality with the power of the mantra, or as a Buddha he may immerse himself in a Buddha's Emptiness, controlling his own apprehension through the simulacrum of his divine body."[42]

Attempts to impose an ordering on these myriad possibilities have themselves been varied and numerous. In Beyer's typology (p. 236), data is distributed among four categories: general, soteriological, ritual and magical, provision being made for the attachment of any one of a number of different appendices to a basic mantra, depending on the particular use to which the practitioner may wish to put its recitation. (See Beyer, p. 208) Gonda, on p. 265, alludes to B. K. Majumdar's list of "no less than sixteen different functions" of mantra recitation, ranging from the realization of final emancipation, to communication with the gods, to the exorcism of demons,to the

destruction of living beings, etc. Again, " 'What is there that cannot be accomplished by *mantras* if they are applied in accordance with the rules?' One can even gain Buddhahood."[43] Indeed on an antinomian plateau, surpassing both all wish for an illusion of either power or acquisition, the wise man passes "beyond oblations, renunciation and austerities, and is freed from *mantra* and meditation."[44] Thus the fifty-two letters yield a harvest rich beyond measure and beyond richness, the harvest of emptiness.

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NOTES

[1] *Pragmatics of Natural Languages*, ed. by Y. Bar-Hillel, Reidel, Dordrecht, 1971, contains eleven essays written under the aegis of the symposium.

[2] R. C. Stalnaker, 'Pragmatics', p. 383, in *Semantics of Natural Language*, ed. by D. Davidson and G. Harman, Reidel. Dordrecht, 1972, pp. 380–397. Though a unified, formal treatment of the subject was not achieved until 1965, as a result of the efforts of Montague and Howard (see R. Montague 'Pragmatics', in *Contemporary Philosophy*, ed. by R. Klibansky, Florence, 1968 and 'Pragmatics and Intensional Logic', in *Semantics of Natural* Languages, pp. 142–168), concern about the pragmatic aspects of languages is certainly not a new phenomenon. Earlier theorists evincing such concern include figures as diverse as Ṕataňjali, (*arthāt prakaranād vā loke dvayor ekasyābhinivṛttiḥ, Mahābhāṣya* VI, 1, 84) and the Latin grammarian Varro. (See R. H. Robins, *Ancient and Medieval Grammatical Theory in Europe*, Kennikat Press, New York, 1951, pp. 52–54) There are even intimations of what we are after in Roger Bacon. (See L. M. de Rijk, *Logica Modernorum* II, the Netherlands, 1967, pp. 124–25.) More recent prolepses include C S. Peirce's 'speculative rhetoric' (See, e.g. J. K. Feibleman's *An Introduction to Peirce*'s *Philosophy*, Hauser Press, New Orleans, 1946, pp. 129–34), E. Husserl's theory of 'occasional expressions' (*Logische Untersuchungen* II, Halle, 1928, 79–90) and, perhaps most germane to our present interests, Austin's spadework on speech acts (see footnote 4).

[3] *The Cult of Tārā*, University of California Press, Berkeley, 1973.

[4] J. L. Austin, *How to Do Things With Words* (ed. by J. O. Urmson), Oxford Press, 1965. J. Searle, 'Austin on Locutionary and Illocutionary Acts', Philosophical Review, 1968, pp. 405–424 J. Searle, *Speech Acts*, Cambridge, 1969, and J. Searle (ed.), *The Philosophy of Language*, Oxford Press, 1971. Following Austin, but with some modifications due to Searle (see footnote 9), an 'illocutionary act' is an act one performs *in* saying something. I.e., over and

above expressing a certain propositional content, *in* speaking one can perform the acts of, e.g., promising, warnings, etc.)

[5] See Beyer, pp. 144–145. Emmet says (on p. 200 of her *Function, Purpose and Powers*, Macmillan, 1972): "Symbols which grow out of religious experiences both indicate and instigate a *process* already going on which we very imperfectly understand." Again, on p. 214 of the same work, she remarks: "Similarly certain words may not just signify blessing, but their pronouncement is itself blessing. Here it is tempting to use the term current in contemporary philosophy — 'performatory' utterance." The discussion which follows, based as it is on a distinction Austin initially drew between 'performatory' utterances (or utterances in which saying is *ipso facto* doing) and 'constative' utterances (utterances which are mere statings), is too simplistic to be really useful. For, as Austin's own efforts to ramify and refine his earlier speculations soon disclosed, the supposedly special case of the performative utterance, in fact comprehends the constative species of utterance as well — an insight which caused Austin to redirect his energies to the construction of a general doctrine of speech acts.

[6] J. Gonda, The Indian Mantra', *Oriens*, 1963, pp. 244–297.

[7] *The Tantric Tradition*, Rider and Company, London, 1965, p. 11. Bharati is, of course, far more than a mere sympathetic onlooker. As an initiate in a Hindu tantric sect, he has privileged access to certain materials and this imbues his descriptions with an authoritativeness not to be found in those of most of his fellow scholars.

[8] *The Tantric Tradition*, p. 111. D. Snellgroves' definition (p. 136 *Hevajra Tantra* Part I, London, 1959) is similar.

[9] More precisely, Austin distinguishes a group of things we do in saying something: "We perform a *locutionary act*... which is roughly equivalent to 'meaning' in the traditional sense. Second,we said that we also perform illocutionary acts such as informing, ordering, warning, undertaking, etc., i.e. utterances which have a certain (conventional) force. Thirdly, we may also perform *perlocutionary* acts: what we bring about or achieve *by* saying something, such as convincing, persuading, deterring. ..." (*How to Do Things with Words*, p. 108) Austin further trifurcates a locutionary act into (a) a *phonetic act* or act of uttering certain noises, (b) a *phatic act* or act of uttering certain vocables or words, (c) a *rhetic act* or act of using those words with a more or less definite sense and reference. Searle (in his 'Austin on Locutionary and lUocutionary acts', p. 420) gives cogent reasons for replacing Austin's 'locutionary-illocutionary' distinction by one between "(1) the content, or as some philosophers call it, the proposition in an illocutionary act, and (2) the force, or illocutionary type of the act." Hence, while Bharati's definition was limited to the origins of (1) and the form of its phatic aspect, in this paper, following Searle, we shall also be concerned with (1) *qua content* and with (2) as well.

[10] *History of Religions*, August, 1973, pp. 16–35.

[11] As our detailed scrutiny of the illocutionary act(s) of mantra recitation below will illustrate. See also Barry Richards, who in a tightly articulared paper on the relation between meaning and speech acts ('searle on Meaning and Speech Acts', *Foundations of Language*, 1971, pp. 519–538), avers (on p. 532): "We have argued above assuming that every sentence contains at least one illocutionary-act device, that for any sentence the meaning of the utterance of the sentence under certain appropriate conditions is at least partially determined by the semantical rules which attach to the illocutionary act device(s) in the sentence." But the upshot of what Richards goes on to prove is that "for all but perhaps an indefinitely small number of sentences, the semantic component does not specify all the conditions necessary for their appropriate utterance" (p. 538).

[12] Here a rider harkening back to the caveat implicit in our opening paragraph is in order. We concede that there is sometimes great difficulty in delineating the proper domains of semantics and pragmatics. (Cf., *inter alia* Stalnaker, 'Pragmatics', p. 387) Our disgruntlement with Mr. Ray stems from the fact that he is not yet aware of the need for (indeed the *possibility of*) drawing such a distinction.

[13] In other words, the first is an act of e.g., evocation, while the second is an act of description. Bharati succinctly captures the thrust of this distinction on p. 165 of *The Tantric Tradition*, noting that even Indian pandits very often equate the one with the other.

[14] See, for example, Gonda's 'The Indian Mantra', pp. 284 ff.

[15] Beyer, on page 194 of *The Cult of Tārā*, mentions the recitation of the 100-syllable mantra of Vajrasattva as a device whereby the monks who employ it "are themselves purified, the preceding ritual is made firm, and their speech is empowered for the prayer that follows." A more apt comparison, if made with due circumspection, is that between mantra recitation and 'mystical orison' in the sense in which Evelyn Underhill uses the term in *Mysticism*, Dutton & Co., New York, 1961.

[16] R_1 and R'_1 are the *principal* illocutionary forces, the ones which 'wear the trousers', in the example we have chosen to follow through; there are undoubtedly ancillary forces at work as well, but those are beyond the scope of the present investigation. Note that instead of attempting the impossible task of specifying a given context of utterance or recitation in its full complexity, we might, in a more formal treatment, adopt Montague's device ('Pragmatics', p. 104), employing an index or point of reference, i, which consists of an n-tuple comprising the complex of the *n relevant* aspects of a given context of use. We could then circumscribe our particular context (viz., the ritual context proper to the contemplation and evocation of Tārā), setting $i = 1$. The point of reference could later be made to vary over all permissible values in its domain, thereby determining, in turn, each of a number of alternative contexts.

[17] Though from the vantage point of the uninitiated observer the ritual under investigation is indeed correctly describable as involving a reciter (U_1), his auditors (H_1) and his preceptor

(P_1), from the participants' point of view, the goddess Tārā is the addressee and, as phenomenal distinctions blur and then dissolve entirely under the growing penumbra of śūnyatā or emptiness (see footnote 20-d), no personalities, not even that of Tarā herself, ultimately remain as designata for our symbols. We are left instead with what Emmet (in her *Function, Purpose and Powers*)refers to as 'personae', or functional relationships between stereotyped roles. Note that, in any case, (H_1 and (P_1 are not mutually exclusive designations.

[18] J. Searle, *The Philosophy of Language*, p. 48. Communication is Searle's word. A better choice might perhaps be communion-cum-communication or some such hybrid, since communication is only a part of what transpires (and that rather early) in the speech act under investigation. Beter still would be to avoid altogether the constraints and confusions that arise from the premature affixing of a label, and allow the analysis that follows to reveal the lineaments of the act piecemeal.

[19] Beyer's discussion supplies concrete details peculiar to the 'Four Mandala' ritual for Tarā (which, as a ritual of 'offering', has as its base the 'contemplation' and 'evocation' we are concerned to explicate. Cf. Beyer, p. 67. This terminology will be further clarified in the course of our analysis below.) "If this ritual is being performed for the purpose of accumulating merit, it should be performed especially at the time of the full moon, the new moon, the eighth day, and so on ... The ritual is even more meritorious if performed on one of the great yearly festivals ... The ritual should be performed in a temple or any clean and pleasing place ... It is most beneficial if the ritual is performed in the special places where dākas and ḍākiṇīs dwell in person..." (*The Cult of Tārā*, pp. 173–74). We are presented with rather different sets of alternatives on pp. 142–45 of Bharati's *The Tannic Tradition*. Indeed, these parameters, depending as they do on the cult from which their stipulation derives, admit of almost limitless variability.

[20] Here, again, for the sake of uniformity, our documentation is culled primarily from Beyer. As for (a), citing Ye-shes rgyal-mtshan, Beyer says on p. 173: "Before performing this ritual, if possible, the practitioners should bathe themselves and cleanse the place and equipment; if they are unable to do so, the ritual should at least be performed in the morning before any of them has eaten meat or drunk beer." This leitmotif of physical purgation runs throughout yogic practices in general. (See, e.g., M. Eliade, *Yoga, Immortality and Freedom*, Princeton/Bollingen paperback, 1970, pp. 230–31.) As for (b), the inculcation of (here) Buddhist ethical attitudes is aimed at — psychological purification or 'purification in the path'. (See especially Beyer, pp. 27–33.) Mutatis mutandis for recitations in Jain and Hindu contexts. Part II, Chapter III of Underbill's *Mysticism* contains an abundance of analogous material from Western mystical texts. Here what is perhaps most striking is the similarity in even the choice of symbolism — e.g., defilements to be excised represented as the black head of a raven on the one hand (Underhill, p. 147) and as a black phantom on the other (Bharati, p. 113). Under the rubric of (c) the desiderata include psychological preparation in the form of sufficient practice in solitary contemplation and the achievement of proficiency

in visualization (Beyer, pp. 25–27 and 68–75). (d) demands U_1's comprehension of the received (in this case T_1's) version of the Buddhist metaphysics of *śūnyata* or emptiness, together with all that this metaphysical stance entails (Beyer, pp. 33–36 and 81–108). (e) is self-explanatory, but often insufficiently stressed. Hence, even before the ritual service [the contemplation of the mantra] the young monk must have received the proper initiatory authorization for each deity. (Beyer, p. 38.) The credentials of the auditors and preceptor must also obviously include initiation, along with unbroken vows and contemplation in prior ritual service of the goddess, (Beyer, p. 67.)

[21] In cases of this sort, the purported act is voided — it *misfires*. Austin's doctrine of the things that can go wrong on the occasion of such utterances (i.e., his so-called 'doctrine of infelicities' distinguishes 'misfires' (or violations of conditions listed in groups A through C) from 'abuses' (violations of conditions listed under D-l through 4). In the latter situations, unlike the former, the act *is achieved*, not botched, albeit it is rendered hollow for any one of a number of specifie reasons. See pp. 290–291. See also Austin, pp. 14–24 of *How To Do Things with Words*.

[22] A procedure "having a certain conventional effect, that procedure to include the uttering of certain words by certain persons in certain circumstances." (Austin, *How to Do Things with Words*, p. 14)

[23] More concisely put, a mantra must be *guruvaktratah*. See Bharati, p. 107 and Beyer, pp. 36–38, pp. 399–403 andp. 424. To adapt a well-known dictum, while we do *not* go to grammarian for words, we do and must go to a guru for mantras.

[24] A separate, extended study of these putative propositions and their truth conditions ought to be undertaken; but since our present inquiry is primarily pragmatic, rather than semantic, a few remarks will have to suffice. Note that *not all* illocutionary acts *need have* propositional content. (See, for example, Searle, *The Philosophy of Language*, p. 43).

[25] I.e., a mantra may express a perfectly clear exoterical sense, "but from the esoterical point of view this sense is not necessarily connected with the true value, though it may have a mnemonic value" (Gonda, 'The Indian Mantra', p. 272). Beyer has some interesting things to say in this regard on p. 145 of his *The Cult of Tārā*. He lists functional differences among several types of formula structure: (a) some are injunctive; (b) others are particles functioning morphemically in the utterance and/or serving as seeds for contemplation; (c) still others are stereotyped doctrinal formulae with special ritual uses, "sometimes totally dissociated from their meaning." R. Ekvall, in his discussion of a single mantra on pp. 116–117 of his *Religious Observances in Tibet* (Chicago, 1964) dismisses questions of meaning as "of secondary importance." Vasubandhu, tersely paradoxical, writes on pp. 272 ff. of his *Bodhisattvabhūmi* "that the true meaning of the mantras lay in their absence of meaning" (quoted by Eliade on p. 216 of his *Yoga, Immortality and Freedom*). Still more extreme are the views of one Kautsa, in whose opinion the Vedic mantras, though admittedly effective, were meaningless. J. F. Staal notes on p. 472 of his 'Sanskrit Philosophy of Language'

(*Current Trends in Linguistics*, 5, 1969, pp. 463–495) that "the extreme form in which this thesis was defended scandalized Vedic orthodoxy." Finally Bharati, in demonstrating on pp. 114–117 (*The Tantric Tradition*) that much of mantric material has been too hastily relegated to the dustbin of 'gibberish', (for instance, 'bīja' mantras-particles whose meaning would at first glance seem to be no more than their function) underscores the need for caution in making assessments in this area. Hence, setting aside extreme cases (e.g., *dhāraṇīs* or stereotyped formulae which are clearly *not* independent power vehicles, nor are they properly meaningful — they merely serve to buttress meditation), there still remains a whole spectrum of mantras which derive their varying degrees of significance from specific doctrines and are regarded in their respective utterances as partially expressive of some (usually transcendent) truth.

[26] About which, as is well known, volumes have been written, despite its alleged unamenability to formulation in discursive language. See (d) of footnote 20. See also Beyer, passim. Note that whatever else propositional content may amount to in the speech acts here being analyzed, I certainly do not regard it as necessarily entailing that either the utterets or the auditor's psyche be attended by imagery of certain kind. Nor does it hinge on the presence or absence of a reified significatum. What, then, does propositional content amount to? The fact is that, short of a full formalization of the semantics of *any natural* language — not forthcoming in the near future — we cannot answer this question with exactitude and in a manner to which all philosopher-linguists would assent, even for a *pedestrian* variety of speech act. And, short of the sallying forth of a Kripke or Montague into Tantric territory, we are not likely to have a precise and exhaustive delineation of the semantics of any particular *cultic* language. However, things are not entirely hopeless. There are relevant discussions. Those of Tsong-kha-pa (*Snags-rim chen-po*, P. 6210, Vol. 161, 193.5.2–194.3.2 in *Collected Works* Wa 129a–130b) and of Lama Govinda (cf. his entire book *Foundations of Tibetan Mysticism*, Dutton, New York, 1960) come immediately to mind. What emerges is that the peak experiences here under consideration have a specifically Buddhist coloration — this in contradistinction to the content of similar experiences which occur in e.g., Hindu or Jain settings — and that this characteristic coloring is due to the *significance* of the formulae which the cultists employ along the way to the realization of the ultimate truth of cessation. Up to the point where a successful recitation takes effect — whereupon *all* distinctions, including that of isolable propositional content, go by the board and *śūnyatā* holds sway — this peculiarly Buddhist content constitutes a difference which makes a difference to the nature of the experience. It can be meditated upon, cognized, regarded as true or false, etc. Beyond that point, where semantics becomes otiose, so also does pragmatics (in the sense which is the focus of this paper), but then so does the whole of epistemology. All mundane expedients are then clearly seen as such and become so much grist for the radical 'pragmatics' of the mill of *nirvāna* attainment.

[27] In other words, they are so many samsaric devices for diversely expressing a series of propositions converging on the inexpressible *śūnyatā*

[28] Searle says essentially the same thing on 420–21 of his 'Austin on Locutionary and Illocutionary Acts', except that he there suggests, *incorrectly*, that a "sentence [be represented] as containing an illocutionary force-indicating device and a propositional content indicator. Thus: $F(p)$ where the range of possible values for F will determine the range of illocutionary forces, and the p is a variable over the infinite range of possible propositions." What Searle ought to have said is that the *sentence as uttered in a certain context*, viz., the speech act, be so represented. Similarly G. Lakoff represents the 'underlying structure' of a sentence (sic) in this fashion in Section VI of his 'Linguistics and Natural Logic', *Synthese* **22**,1970, pp. 151–271. On this level he employs an explicit performative verb to represent each illocutionary force, as for example, the performatives 'order', 'ask', etc.

[29] And in the Kṛṣṇa-Rādhā faith,to give another example, "the more a worshipper advances in his *japa* (reciting) the more does he partake of the nature of the deity and the sooner will he effect his salvation. In the practice of praising the gods the number of mantras is therefore an instrument of power. The effect is assured only if the number is complete … A mantra which under ordinary circumstances is to be read 108 times, must be recited 1008 times if there are difficulties to be overcome." (Gonda, 'The Indian Mantra', p. 271).

[30] Cf., footnote 21. See also Beyer, p. 245. "One must avoid the 'ten faults' in the recitation of the mantra', consisting of five faults and five 'interruptions'. The faults are to recite too loudly, too softly, too quickly, or too slowly, or to mumble indistinctly. The interruptions are to cough, to sneeze, to stumble, to fall asleep, or to have one's mind wander from the recitation…. Moreover, the following numbers of recitations must be subtracted from the total number: for falling asleep, fifteen; for sneezing, ten; for breaking wind, seven; for stumbling, five, etc." It goes without saying that *completeness and correctness* are not independent of one another. Note too that, short of being arbitrary, one cannot always draw a sharp line between 'external' or manifest flaws in a performance (violations of C conditions) and inappropriate 'internal' or dispositional accompaniments (cf., D conditions below), though by and large it is useful to attempt to do so. Thus, since our schematism is a helpful heuristic rather than a procrustean bed, we have ventured to place eg., 'falling asleep' and 'having one's mind wander' under C-4.

[31] Generalizing, this condition has to do with the participants' *beliefs*, with what is *presupposed* in the *pragmatic*, rather than in the *semantic* sense of the term 'presupposition'. Stalnaker expresses the difference clearly on p. 387 of 'Pragmatics': "According to the *semantic* concept, a proposition P presupposes a proposition Q if and only if Q is necessitated both by P and by not-P. That is, in every model in which P is either true or false, Q is true. According to the *pragmatic* conception, presupposition is a propositional attitude, not a semantic relation. People, rather than sentences or propositions, are said to have, or make, presuppositions in this sense …. To presuppose a proposition in the pragmatic sense is to take its truth for granted, and to assume that others involved in the context do the same."

[32] See Beyer, pp. 37, 67 and 255–57. Re "the recognized preferences of H_1," the auditors, as we have noted in A-I above are aware of what, in general, it is for any speaker 'seriously' to utter any sentence. Moreover, as initiated confreres of U_1's in T_1 (or as Tārā herself, if one numbers the goddess among the auditors or indeed regards her as the prime addressee), the auditors share U_1's awareness of the 'felicity' conditions peculiar to proper performance of R_1 (P_1) and R_1 '(p_1). See footnote 20-e above and the "permission of speech" restriction, B-1, on p. 7. Here, in addition to their *comprehension* of all these conditions, we make explicit the requirement that the auditors' (other than purely *cognitive*) immediate dispositions vis-à-vis the ritual performance be appropriate. Tārā, of course, 'has preferences' only in an 'analogous' sense of the term, as a Thomist might put it.

[33] The same sort of considerations obviously also apply to R_1 '(p_1) below. However, it is important to emphasize that Austin's scheme — indeed any taxonomy narrowly based on the exigencies of a *single* natural language — stands in need of revision and expansion. If, in the manner of Searle (p. 417 of 'Austin on Locutionary and Illocutionary Acts'), we think of illocutionary forces as arrayed on a continuum — we get a hopelessly warped picture of the relative density of and interrelatedness among constellations of such forces within an array which does little more than reflect the idiosyncracies of English. Obviously a viable scheme ought to have as its basis a cross-cultural (better, a 'trans-familial) compilation of linguistic data.

[34] The order of precedence of D-3 and D-4 is invariant. The illocutionary act R_1 '(p_1) is ancillary to the act R_1 '(p_1) — one must first *contemplate* the mantra and in so doing become the goddess, as it were, speaking with her very voice, before one can *evoke* her. Here the terms 'contemplate' and 'evoke' have the special technical senses which emerge from the explication above. They are also contrasted *graphically* with one another by Beyer, the lead column of his chart on p. 257 listing the 'locus of power' as *within* the practitioner in the former case (cf., our description above of the 'introjection' of S_1) and in front of him in the latter (cf., our 'recanalization of S_1 beyond and in front of U_1). (See also Beyer, p. 67 and p. 243.)

[35] And Searle, from whom we have taken the formula almost verbatim is surely not to blame for its ungainliness, which is a function of the complexity of the interrelations referred to therein.

[36] See footnote 16.

[37] And our competence. The existence or rules in T_1 explicitly concerned with these matters is alluded to in B-1.

[38] Though this is the received view of Buddhists, Jains and Hindus alike (see, e.g., Beyer p. 64 and Gonda, pp. 248–49 and pp. 275–76) Buddhists, in fact, frequently give pride of place to the visual rather than the sonic dimensions of an experience.

[39] Bharati,pp. 121–22

[40] See Austin, *How to Do Things with Words*, p. 120. See also Lecture IX of the same work and footnote 9 of this paper. Our two summary sentences make no mention of the difficulties with which Austin wrestled in trying to distinguish, in a concrete situation, the taking effect of an illocutionary act from the consequences produced by the successful performance of that act While this is a relatively easy matter in the case of an act such as promising, it is rather more difficult (and perhaps not always possible) to demarcate with precision the illocutionary form the perlocutionary aspects of a randomly chosen instance of mantra recitation. Small wonder, then, that words relating to the production (intentional or otherwise) of effects, e.g., 'purpose' and 'function' are used indiscriminately by most ethmologists and Buddhist scholars to refer to both the illocutionary and the perlocutionary dimensions of a speech act. Though we cannot, given the limitations of this paper, afford to lift the lid of this Pandora's box of problems and argue at length for the validity of such a distinction, we hope to do so in a subsequent study. For now the pragmatic value of having the distinction (however rough-hewn) at hand as an analytic implement, will simply have to speak for itself.

[41] Beyer, p. 68.

[42] Beyer, p. 130.

[43] Quoted from the *Sādhanamālā* by Eliade, p. 214 of *Yoga, Immortality and Freedom.*

[44] Snellgrove, *Hevajra Tantra*, part I, p. 65.

THE MEANINGLESSNESS OF RITUAL

Frits Staal

svarge'pi pīlikāh santi
"even in heaven there are ants"

Sanskrit Proverb

The Agnicayana, a 3000-year-old Vedic ritual, was performed in 1975 in a village in southwest India by Nambudiri brahmins. This event, which lasted twelve days, was filmed, photographed, recorded and extensively documented. From twenty hours of rough footage, Robert Gardner and I produced a 45-minute film, "Altar of Fire." Two records are planned with selections from the eighty hours of recorded recitation and chant. Photographs of the ceremonies were taken by Adelaide de Menil. In collaboration with the chief Nambudiri ritualists and other scholars, I am preparing a definite account of the ceremonies, which will appear in two illustrated volumes entitled: "Agni — The Vedic Ritual of the Fire Altar."

I shall here be concerned not with empirical description, but with theoretical implications. Vedic ritual is not only the oldest surviving ritual of mankind; it also provides the best source material for a theory of ritual. This is not because it is close to any alleged "original" ritual. Vedic ritual is not primitive and not an *Ur*-ritual. It is sophisticated and already the product of a long development. But it is the largest, most elaborate and (on account of the Sanskrit manuals) best documented among the rituals of man. Hubert and Mauss, who noted these facts in 1909, used the Vedic animal sacrifice as source material for the construction of a ritual paradigm ("un schème abstrait du sacrifice").[1] However, they did not know that these rituals are still performed, so that many data were inaccessible to them. I shall use data from the 1975 performance and textual

material from Sanskrit manuals, in particular the *śrauta sūtras*, a literature exclusively devoted to ritual which dates from the eighth through fourth centuries B.C.

I

A widespread but erroneous assumption about ritual is that it consists in symbolic activities which refer to something else. It is characteristic of a ritual performance, however, that it is self-contained and self-absorbed. The performers are totally immersed in the proper execution of their complex tasks. Isolated in their sacred enclosure, they concentrate on correctness of act, recitation and chant. Their primary concern,, if not obsession, is with rules. There are no symbolic meanings going through their minds when they are engaged in performing ritual.

Such absorption, by itself, does not show that ritual cannot have a symbolic meaning. However, also when we ask a brahmin explicitly why the rituals are performed, we never receive an answer which refers to symbolic activity. There are numerous different answers, such as: we do it because our ancestors did it; because we are eligible to do it; because it is good for society; because it is good; because it is our duty; because it is said to lead to immortality; because it leads to immortality. A visitor will furthermore observe that a person who has performed a Vedic rituall acquires social and religious status, which involves other benefits, some of them economic. Beyond such generalities one gets involved in individual case histories. Some boys have never been given much of a choice, and have been taught recitations and rites as a matter of fact; by the time they have mastered these, there is little else they are competent or motivated to do. Others are inspired by a spirit of competition. The majority would not be able to come up with an adequate answer

to the question why they engage in ritual. But neither would I, if someone were to ask me why I am writing about it.

Why ask such personal questions? It might be more proper and fruitful to ask specific questions about the meaning of particular rites. Some such questions do receive specific answers, on which participants and scholars generally agree. The Yajamāna, or Patron of the ritual, must keep his hands closed "like a child in the womb of its mother, ready to be reborn." The fire altar has the shape of a bird because fire, as well as Soma, were fetched from heaven by a bird. The priests do not go south if they can help it for the southern direction is inauspicious. Certain bricks of the altar are consecrated so that it may rain.

Such simple answers form a small minority. They are given rarely, and only in reply to similarly simple questions. Most questions concerning ritual detail involve numerous complex rules, and no participant could provide am answer or elucidation with which he would himself be satisfied. Outsiders and bystanders may volunteer their ideas about religion and philosophy generally — without reference to any specific question. In most cases such people are Hindus who do not know anything about Vedic ritual. There is only one answer which the best and most reliable among the ritualists themselves give consistently and with more than average frequency: we act according to the rules because this is our tradition (*parampara*). The effective part of the answer seems to be: look and listen, these are our activities! To performing ritualists, rituals are to a large extent like dance, of which Isadora Duncan said: "If I could tell you what it meant there would be no point in dancing it."

Ritual, then, is primarily activity. It is an activity governed by explicit rules. The important thing is what you do, not what you think, believe or say. In India this has become a basic feature of all religion,

so that we should refer, not to the faithful or orthodox, but to the orthoprax (from Greek *orthos*, "right" and *praxis*, "action"). It is precisely this feature which is least understood by English-writing Indian authors such as V. S. Naipaul and N. C. Chaudhuri, who have recently taken on the role of explaining India to Western intelligentsia.

II

If we wish to know the meaning or theory of ritual, we should not confine ourselves to practising ritualists; we have learned, after all, that it does not pay to ask elephants about zoology, or artists about the theory of art. Before asking anyone else, however, let us take a look at what the Indian tradition itself has to offer. Since in India ritual has always been a favorite topic for speculation, there is an abundance of material. Even prior to speculation we find suggestive ideas. In the earliest Vedic literature, rituals, along with metres and chants, are used by gods and demons to fight and conquer each other, and sometimes to create worlds. Even when the aims are not explicit, gods and demons are frequently depicted as engaged in ritual. Commentaries provide rituals with a great variety of interpretations, sometimes inconsistent with each other.

In due course specific rites came to be prescribed to fulfil specific desires: for health, power, offspring, victory, heaven, and the like. The list of wishes and desires is not so very different from that of modern man. It is certainly not exclusively spiritual, as some modern visionaries have claimed. But this trend receded again into the background. With increasing systematization of the ritual, we witness a codification of two kinds of rites: the *gṛhya* or domestic rites, which are "rites de passage," life-cycle rites or sacraments, accompanying such events as birth, initiation, marriage and death; and the *śrauta* rites, "rites solennels," or traditional rites. There are several general

and formal differences between these two kinds of ritual. For example, the traditional rites require three fire altars and the services of several priests, whereas the domestic rites require only one fire (the domestic fire) and one priest (the domestic priest). While the function of the domestic rites appears to be fairly straightforward, the significance of the traditional rites is not obvious. The traditional ritual, with its myriad ramifications, exhibits the unhampered development of ritual construction and creativity. It is therefore more important for the understanding of ritual than the domestic rites. The latter, by themselves, might seem to be amenable to explanations along the lines of, e.g., Van Gennep's *Rites de passage* (1909). But since such explanations are clearly inapplicable to the traditonal rites, and domestic and traditional rites are partly similar in structure, it follows that all such theories are inappropriate. There are, moreover, traditional rituals which last a thousand years, which shows that some of the rites were purely theoretical. Such theoretical constructs (which the grammarian Patañjali compared to the infinite uses of language) should not be brushed aside, as was done by Hillebrandt, who referred in this connection, to "myth and fantasy" of the ritualists.[2] On the contrary, they are as important for the theory of ritual as are concrete ceremonies. Many rites have in fact an intermediate status. The Agnicayana, which was performed in 1975, is a traditional ritual which seems to have been always "real", though some of its extensions, which the texts describe, smack of theory.

The *śrauta sūtras* of the late Vedic period offer several definitions of ritual. One which is often quoted characterizes it as comprising three things: *dravya*, "the substance (which is used in oblations) "; *devatā*, "the deity (to which oblations are offered) "; and *tyāgā*, "renunciation (of the fruits of the ritual acts) ". The *tyāgā* is a formula pronounced by the Patron at the culmination of each act of oblation. When the officiating priest, on behalf of the Patron, makes the

oblation into the fire for one of the gods, for example Agni, the Patron says:

> "this is for Agni, not for me" (*agnaye idaṃ na mama*).

At this point a contradiction begins to appear, which becomes increasingly explicit in the ritualistic philosophy of the Mīmāṃṣā. The reason for performing a specific ritual is stated to be the desire for a particular fruit or effect. The stock example of the Mīmāṃṣā is:

> "he who desires heaven shall sacrifice with the Agniṣṭoma ritual" (*ogniṣṭomena svargakāmo yajeta*).

But this fruit is renounced whenever the Patron utters his *tyāga* formula of renunciation. The effect, therefore, is not obtained.

The resulting picture is further complicated by another apparent contradiction. The rites are subdivided into two classes: "obligatory," (*nitya*) and "optional" (*kāmya*). Unlike the Agnicayana, which is *kāmya*, the Agniṣṭoma is a *nitya* rite: every brahman has the duty to perform it. So here is a ritual which appears to be optional, since it is confined to those who desire heaven (nobody's duty); but which is also not optional, because it is a prescribed duty; and which moreover in the final resort does not bear any fruit because its fruits are abandoned. The texts reflect such contradictions. The Mīmāṃṭā Sūtra, basic manual of the Mīmāṃṭā, lays down that the rites lead to happiness, but the subcommentary "Straight Spotless" (*ójuvimalā*) observes that this does not apply to obligatory acts.

The Mīmāṃṣā philosophers faced another difficulty. When a ritual performance is completed, no fruit is seen. The Yajamāna, on whose behalf the rites have been performed, does not raise up and go to heaven. Rather the opposite: he returns home and is, as the texts put it, the same as he was before. In particular, he must continue to perform the morning and evening fire rites (*agnihotra*) for the rest of his life. The Mīmāṃṣā concluded, quite logically, that the fruit of

ritual activity is — temporarily — unseen. It will become apparent only later, e.g., after death. An elaborate theory was devised to show that this is in accordance with the mechanism of *karman*, according to which every cause has an effect. A special logical theorem, called *arthāpatti*, was invented in support of this theory. The followers of the Mīmāṃsā were criticized by others (e.g., the philosophers of the Advaita Vedānta) for postulating such unseen effects. For whatever our contemporary fads may suggest — in India, the unseen is resorted to only under duress. What the Mīmāṃsā in fact ended up teaching is that the rituals have to be performed for their own sake.

The notion of *tyāga*, "renunciation," has attained an important position in Hinduism through the teachings of the Bhagavad Gītā. Here Śrī Kṛṣṇa advocates as the highest goal of life a mode of activity, in which acts are performed as usual, but the fruit (*phala*) of action (*karman*) is always renounced (*karma-phala-tyāga*).

III

The Indian tradition offers suggestive speculations but is does not seem to come up with a single consistent theory of ritual. The most interesting Indian contribution is perhaps the term *karman* itself: originally and primarily used for ritual and similarly pure or ideal activity, it comes by extension to denote any kind of human activity. Now let us see what modern scholars have to offer. For a long time it has been fashionable to believe that rites re-enact myths. This idea was partly inspired by the Babylonian festival of the New Year, which involves a recital of the myth of creation. But this hypothesis is difficult to support and creates an unsolved problem: why should anybody wish to re-enact a myth? The same difficulty applies to several more recent theories, according to which ritual reflects social structure. It is true, again, that there are some remarkable parallels which require explanation. But the question remains: why should

social structures be represented or enacted ritually, and in a very roundabout manner at that? Such unanswered questions, generated by the theory, suggest that theories of this type are best abandoned.

A related theory, current: among anthropologists, is that rituals are used, in preliterate societies, to transmit "cultural and social values" to the younger generation. This would explain the informants' emphasis on tradition. But the assumption is, of course, unnecessary. Not only are rituals not confined to preliterate societies (it is anthropologists who tend to confine themselves to preliterate societies); but such values (e.g., gods, myths, kinship systems) are most readily transmitted by grandmothers and through language, and there is no need for them to be transmitted again by other means. The only cultural values rituals transmit arc rituals.

Another widespread theory is that ritual effects a transition from the realm of the profane to that of the sacred. (Instead of "transition" we also meet with "communication": a weaker version of the theory.) This is very intriguing and unclear. Terms such as "transition" or "communication" do not pose too much of a problem; but "sacred" and "profane" certainly do. Either the theory expresses a tautology: the distinction between profane and sacred is the distinction between the status of a person or object before and after a relevant ritual is embarked upon; accordingly, if sacred and profane have been defined in terms of ritual, ritual cannot be defined in term's of sacred and profane. This is circular and uninformative.

On another interpretation, this theory would assume that the distinction between sacred and profane is already established and known from elsewhere. For example, in the realm of divinity, "sacred" might have been shown to be the domain of the gods, and "profane" that of men. But a satisfactory distinction of this kind is not easily found, especially outside the realm of ritual. Moreover, the terms do

not introduce anything new. The theory would merely claim that ritual effects a transition from the realm of men to that of the gods (or a communication between the two). As a matter of fact, the Vedic ritual offers an immediate contradiction. During the Soma rituals, a transition is effected from the "Old Hall," (*prācīnavaṣśa*) to the "Great Altar" (*mahāvedi*). The former is said to be the abode of men, and the latter that of the gods. Thus a transition from the domain of men to that of the gods is effected *within* the ritual. The distinction therefore cannot serve as a concept in terms of which the ritual itself may be defined.

IV

Why has it proved so difficult to define the meaning, goals and aims of ritual? Why are there so many different answers and theories, not only often contradictory between themselves, but of such disparate character that it is difficult to even compare them with each other? There is one simple hypothesis which would account for all these puzzling facts: the hypothesis that ritual has no meaning, goal or aim.

This is precisely what I suspect to be the case. Ritual is pure activity, without meaning or goal. Let me briefly digress for a point of terminology. Things are either for their own sake, or for the sake of something else. If I were defending the view that ritual is for something else, it would be necessary to distinguish between such other things as meaning, function, aim or goal. But since my view is that ritual is for its own sake, I shall not bother about these differences. To say that ritual is for its own sake is to say that it is meaningless, without function, aim or goal, or also that it constitutes its own aim or goal. It does not follow that is has no value: but whatever value it has is intrinsic value.

Ritual exhibits its character of pure activity most readily when it is contrasted with the applied activities of our ordinary, everyday life. In ritual activity, the rules count, but not the result. In ordinary activity it is the other way around. In Vedic ritual, for example, an important ceremony is *agnipraṇayana*, "transporting the fire (from the Old to the New Altar)." This is in fact a transition from the abode of men to that of the gods. But the priests do not first think of men and then meditate on the gods. They think of neither, at any time. What is essential in the ceremony is the precise and faultless execution, in accordance with rules, of numerous rites and recitations. The result is important, but it has only ritual use and can only be reached in the ritually prescribed manner. I could not come in and assist in the proceedings by picking up the fire from the Old Altar and depositing it on the New. In fact, if I did such a horrible thing, the entire ceremony would be desecrated, interrupted, and expiation rites would have to be performed. Similar disasters would result if anyone used the sacred fire for any but a ritual purpose, e.g., to heat water for tea.

Now contrast this with an ordinary activity. I am about to transport my suitcase from my house to the bits stop, which is about a mile away. There are no rules I have to follow, provided I obtain the desired effect. I may put my suitcase on a skate board. Or my brother may appear on a bicycle, and the two of us use this vehicle to transport my suitcase to its intended destination.

The two kinds of activity, ritual and ordinary, can be juxtaposed without conflict or contradiction. After making fire for the altar in the ritually prescribed manner by rubbing two pieces of wood together, a priest leaves the sacred enclosure and lights a cigarette with a match. Not so different, actually, from Arthur Rubinstein back home after a concert, putting on a gramophone record. But the two domains should not be mixed. If a priest would light a cigarette from

the sacrificial fire, it would be bad. If he would light a cigarette from fire which he had produced by rubbing two pieces of wood together in the ritual manner, he would be considered mad or very eccentric. The ritual and ordinary ways of making fire are neatly demarcated.

A distinctive feature of ordinary activity is that it runs risks which ritual activity avoids. In ordinary activity, the entire performance may fail to have the desired effect. The bicycle together with its load may fall into a canal, or the suitcase may be seized by armed robbers. In ritual activity, the activity itself is all that counts. Not only have we established the rules ourselves, so that we are completely in control; we are also assured of success. If one rite goes wrong, another takes it place. This goes a long way to explain the curious fact that rituals, so apparently meaningless and useless, are at the same time readily engaged in. *Eo ipso* it explains that ritual activity has a pleasant, soothing effect. If you give up desire, you will be happy. This idea and the notion that ritual is performed for its own sake are closely connected and clearly foreshadowed by the Indian doctrine of *tyāga*, the teachings of the Bhagavad Gītā, and by similar notions in other traditions, e.g., *wu-wei*, "absence of (effective) action" in Taoism, or the categorical imperative in Kant. It also accounts for the similarity between rites and games, which are equally unproductive, as Huizinga and Caillois have pointed out. But ritual is one up on most games because you cannot even lose.

Several anthropologists have detected features of meaningless in ritual, without recognizing that these features express its essence. Lévi-Strauss says that ritual "consists of utterances, gestures and manipulations of objects which are independent of the interpretations which are proper to these modes of activity and which result not from the ritual itself but from implicit mythology" (*L'homme nu*, 1971, page 600). If we remove the word "implicit" from this sentence (which means forsaking the author's ideas about the

complementarity of myth and ritual) we approximate what I believe to be the correct theory. Van Gennep came close to the idea that ritual is meaningless. After completing his *Rites de passage*, he noted that marriage ceremonies, in many societies, include an aspersion rite which he interpreted as a fecundity rite. But identical aspersion rites are employed, in the same and in different societies, when a slave is acquired, when a new ambassador arrives in town, to make rain or to expel someone. Like Indian commentators, Van Gennep gave different interpretations to each of these rites. He concluded: "the aspersion rite does not have any personal or basic meaning in the state of isolation, but it is meaningful if seen as a component part of a particular ceremony. The meaning of the rite can, consequently, only be found by determining the relation it has with the other elements of the whole ceremony."[3]

Aspersion rites are not confined to humans. In his Sather lectures at Berkeley, Walter Burkert dealt with the ritual pouring of liquids for marking a territory and observed that this is quite common in mammals: "we all know the dog's behavior at the stone." — In the development of our concepts and theories of ritual it it only a small step from "changing meaning" to: "no intrinsic meaning" and "structural meaning," and from there to: "no meaning."

If ritual is useless this does not imply that it may not have useful side-effects. It is obvious, for example, that ritual creates a bond between the participants, reinforces solidarity, boosts morale and constitutes a link with the ancestors. So do many other institutions and customs. Such side-effects cannot be used to explain the origin of ritual, though they may help to explain its preservation. They explain why rituals are preserved though their meaninglessness is recognized, like the Jewish ritual of the Red Heifer which baffled even Solomon and which was considered the classic example of a divine command for which no rational explanation can be adduced.

These side-effects fail to explain the most curious fact about ritual preservation: rituals are always guarded jealously and with extreme conservatism. This is directly explained by the theory that ritual has no meaning. A useful institution is open; it may undergo change, because efforts are made to render it more (or less) useful. A useless institution is closed; it is not understood and therefore can only be abandoned or preserved. There are parallels to this situation from outside the realm of ritual. In India, during the last 3000 years, the Vedic language gave way to classical Sanskrit which was in due course replaced by Middle and Modern Indo-Aryan languages. During all these changes the Vedic mantras were orally transmitted without any change. Why? Because they had become meaningless. Languages change because they express meaning, are functional and constantly used. Meaningless sounds do not change; they can only be remembered or forgotten.

Freud has drawn attention to similarities between ritual and neurosis. The obsessiveness which pervades ritual has led several anthropologists to emphasize the emotions and anxiety which sometimes accompany ritual, and which they claim underlie it. In *L'hornme nu*, Lévi-Strauss has located such anxiety in the ritualists' fear that reality, which they have cut up ritually, cannot be put together again. But it is apparent that the obsessiveness of ritual is also an immediate consequence of its meaninglessmess. Nothing is more conducive to uneasiness than to be entrapped in absurdity. If I detect a mistake in cooking or calculating, I perceive the result and understand the reason. But if I have made a ritual mistake, I don't notice any difference and don't see any reason. I am not even sure whether I made a mistake or not, and there is no way to determine it. It is like being in a foreign culture where strange things happen and it is not clear whether one has made a *faux pas*. The Agnicayana performance of 1975 was followed by a long series of expiation rites,

for mistakes that might have been committed. Our anxiety is greatest when we don't know why we are anxious.

The meaninglessness of ritual explains the variety of meanings attached to it. It could not be otherwise. Ideal activity cannot fail to resemble actual activity. Therefore rituals resemble other things, including features of myth and social structure. However, though a ritual activity may resemble a meaningful non-ritual activity, this does not imply that it must itself be meaningful. This can be seen in the realm of animal ritualization, as well as in the human domain. Among animals, ritualization often implies that the goal of an activity has changed. Many ritual displays incorporate modes of action which originally had a different function, e.g., fighting. Such ritual displays may acquire a new function: they lead to copulation because they are sexually stimulating, for example. Some of the same ritual displays, however, are post-nuptial or post-reproductive, and therefore not clearly functional. Biologists find tliem puzzling (e.g., Huxley[4]).

Human ritualization often follows animal ritualization rather closely. Fighting, simulated or real, is still sexually stimulating among humans. But typical human forms of ritualization seem in general to dissolve meaning, not replace it. One of the earliest rituals originated in connection with the use of fire. During most of its existence, mankind did not know how to use it. Subsequently, more than 250,000 years ago, man learned the use of fire; but he could not make it. So fire was collected from natural conflagrations and was carefully kept and carried around. Elaborate techniques were devised for the preservation of fire. Finally, more than 50,000 years ago, man learned how to make fire. At this point ritualization and the cult of fire came into being. For instead of relying on his art of making fire, and producing it whenever he needed it (which is easy at least during a dry season or in a dry climate), man continued to carry fire

around. A distinction was made between such "eternal" fire and the "new" fire which could now be made—a distinction we have since abandoned as irrational. To ancient man, and in several existing societies, fires have retained individuality. They should not be mixed. Fires have to be extinguished, or newly made, at set times by ritual experts. Alongside, the continued preservation of "eternal" fire reflects fossilized habits which had lasted some 200,000 years.

A more recent example comes from the Agnicayana.[5] During the ceremony of *agnipraṇayana*, when fire is transported from the Old to the New Altar, one of the priests engages in a long recitation. The recitation is of an ancient battle hymn, the Apratiratha or "Song to the Irresistible Warrior" (Taittirīya Saṃhitā 4.6.4, cf. Ṛgveda 10.103 and 6.75). Indra is invoked as a victorious warrior or hero, "fond of slaughter, disturber of peoples", who with the help of his arrows, chariots and troups, destroys the enemies. When the priest recites: "Comrades, follow in Indra's footsteps!", he sounds less like an officiating priest than like a gang leader or a commander-in-chief. And what is the origin of all of this? At an earlier period, the Vedic Aryans fought their way into the Indian subcontinent, moving from west to east and carrying fire. In the *agnipraṇayana* rite, fire is still carried from west to east. But the priests are not celebrating the ancient raids of their ancestors, of which they need not even be aware. The function of the hymn has not changed. It has become ritual, i.e., disappeared.

Can the hypothesis of the meaninglessness of ritual be formulated in terms of evolution or development? Necessarily so, but we have to speculate back to the origin of man. Philosophers, especially in Germany, have made much of self-consciousness as a characteristic of man, but we are rarely told what this means. I think that man became aware of himself primarily as an agent. Like many other animals, he was already aware of the outside world and could

communicate to a limited extent with other members of the species (which does not imply that he possessed language). Abandoning a sense of being pushed around, man made the discovery that he affected the outside world by engaging in activity—a pursuit wrought with risk and danger. So he created a world of ritual or ideal activity, intrinsically successful and free from such contingencies. It expressed man's awareness of himself, and paved the way for theory construction and language, as we shall see. Much later, when ritual was contrasted with ordinary, everyday activity, its meaninglessness became patent and various rationalizations and explanations were constructed. Ritual became deeply involved with religion, which always stands in need of the mysterious and unexplained. Rites were attached to all important events. In the course of time rituals, instead of remaining useless and pure, became useful and meritorious.

Throughout the history of man's speculation on ritual we find inklings of its original function as perfect activity. Just as the Indians mused about *śrauta* rituals, the Chinese theorized about *li*, which means: rites, ceremonies, rules of good manners and proper conduct, etiquette. The Confucian philosopher Hsün Tzǔ (third century B.C.) explained the origin of the *li* as follows:

> Man at birth has desires. When these desires are not satisfied, he cannot remain without seeking their satisfaction. When this seeking for satisfaction is without measure or limit, there can only be contention. When there is contention, there will be disorder; when there is disorder, everything will be destroyed. The early kings hated this disorder, and so they established the *li* and standards of justice so as to set limits to this confusion, to satisfy men's desires, and give opportunity to this satisfaction, in order that desires should not be stretched to the breaking point by things, nor things be used up by desires; that both these two should mutually support one another and so continue to exist. This is how the *li* originated.[6]

V

Enough of generalities. If ritual consists in the precise execution of rules, it must be possible to know what its rules are. The rules of the *śrauta* ritual have been formulated with great care in the *śrauta sūtras*, and made accessible by Sanskrit scholars, foremost among them Willem Caland. Searching for the best literature outside the Vedic, one soon finds out that there is no literature at ail. Lévi-Strauss, in *L'homme nu* (pages 601–603), distinguishes two basic ritual operations: "morcellement" (dismemberment, fragmentation) and repetition. But he offers no actual rules. Hubert and Mauss showed little more than that rites have a beginning, a middle and an end. Scholars and students of ritual seem to lag behind their colleagues who study the rules of measurement, counting or language, and who have for millenia been familiar with some of the rules which obtain in their respective domains. Among students of ritual — whether religiously, anthropologically or psychologically inspired — we mostly meet with generalities. The reason for this neglect is rooted in the nature of ritual itself: if a thing is useless, it is not taken seriously. Thus we do not possess much in the way of a science of ritual, even though the subject is certainly amenable to precise investigation, not unlike physics, mathematics or grammar.

Even at this early stage of pre-scientific groping, in which we find ourselves, it is not impossible to formulate ritual rules. I shall give a few examples from Vedic ritual. This will necessarily involve some detail (for more, see Staal, forthcoming[7]). We must start with the observation that the *śrauta* rituals constitute a hierarchy. Four of them, for example, which I shall refer to by capital letters, are listed in the following order:

D: "Full and New Moon ceremonies" (*darOapūrṇamāsa*)

P: "Animal Sacrifice" (*paśubandha*)

A.   "Praise of Agni" (*agniṣ ṭoma*, paradigm of the Soma rituals)

C: "Piling of Agni" (*agnicayana*).

This sequence is not arbitrary. There is increasing complexity. A person is in general only eligible to perform a later ritual in the sequence, if he has already performed the earlier ones. Each later ritual presupposes the former and incorporates one or more occurrences of one or more of the former rituals. Sometimes these embedded rituals are abbreviated. In general, they undergo modifications. We find the following embeddings, among others:

In P, performances of D are embedded when a cake of eight potsherds is offered to Agni and when a cake of eleven potsherds is offered to Agni-Viṣṇu;

in A are embedded: two performances of P (for Agni-Soma and for Pressing Soma) and several performances of D (called Consecration, Going Forth, Final Bath, Conclusion and Departure, etc., not to mention performances of D embedded in P);

in C, a performance of A, fourteen performances of P and numerous performances of D, some already embedded in A and P, are embedded.

This enumeration is by no means complete, but it may serve to illustrate the "embedding" feature of the underlying structure.

Now for the modifications which rituals undergo when they are embedded, and, more generally, in different contexts. First of all, the deities to which rites on different occasions are dedicated are often different, which induces differences at least in the names which occur in many of the recitations. Even within D itself, one of the main oblations is for Agni-Soma at full moon, but for Indra-Agni at new moon. Similarly, the different deities to which the different animals in performances of P are dedicated, induce differences in recitation. But

apart from these substitutions there are numerous more complex modifications which are induced by embedding. I shall give one simple example. In the regular performance of D, there are *fifteen sāmidhenī* verses, recited when the twigs of firewood are put on the fire. But at the performance of D which is embedded in P when a cake on eleven potsherds is offered to Agni-Viṣṇu, there are *seventeen sāmidhenī* verses. Such examples can be multiplied almost indefinitely.

Though all these rituals involve emibeddings and modifications, it does not follow that there is a unique description in terms of these for each particular ritual. For example, C may be analysed differently as an Atirātra, viz., a modification of A, in which the construction of the New Altar is modified. Such an alternative analysis would necessitate a different structural analysis; what is important in the present context is only that it would involve embeddings and modifications.

In order to get an inkling of the syntax of these structures, we have had to enter into some complexity even though I have made several simplifications. In order to explicate the rules, I shall have to simplify differently and construct a model of a ritual — a more formal representation corresponding to what Hubert and Mauss called a "schème abstrait du sacrifice." In order to make this precise, a series of artificial assumptions will be made, defining D, P and A. The reason for these artificial assumptions and definitions is merely that they constitute a model which exhibits specific structures and rules of the ritual. This model is similar with respect to these structures to the really existing rituals, but is much less elaborate than the latter. What is important is that the existing rituals can be analysed in the same manner as the model with regard to the structures in which we are here interested.

Let us assume that a *ritual* consists of smaller units, which I shall call *rites*. The rites of ritual "D" will be written as "d," those of "P" as "p," etc. Now let us make more specific assumptions. Let D consist of three rites, d_1, d_2 and d_3. I shall write this as a rule:

$$D \rightarrow d_1 \ d_2 \ d_3. \tag{1}$$

This may be illustrated as in Figure 1:
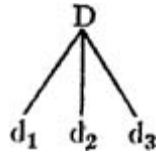
Ritual P involves several performances of D. Let us assume:

$$P \rightarrow p_1 \ D \ p_2 \ D \ p_3 \ p_4. \tag{2}$$

Similarly, A involves performances of P, as well as of D directly, e.g.:

$$A \rightarrow D \ a_1 \ a_2 \ P \ D \ a_3 \ a_4. \tag{3}$$

A representation of the structure of (3) is given in Figure 2:
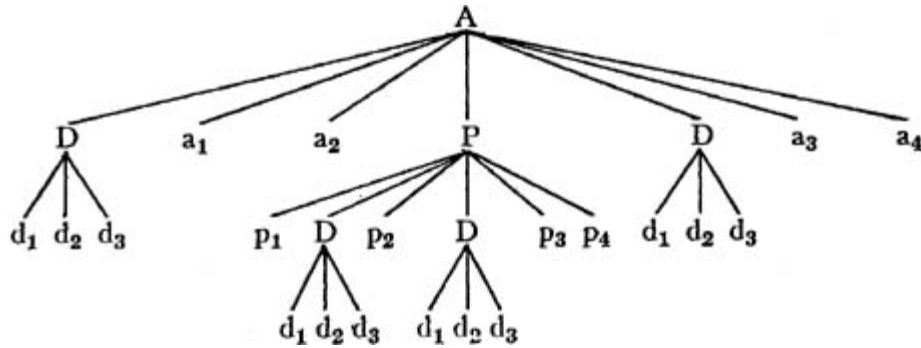
This picture does not correspond to any existing ritual. However, it expresses, precisely, one of the main features of ritual structure, which I have referred to as *embedding*.

We have already met with a second structure: rituals which are embedded undergo *modification*. We may introduce the example I gave into our model by assuming that in ritual D, the first rite, d_1

represents the recitation of fifteen *sāmidhenī* verses. Let us further assume that in the second occurrence of D in P, rite d_1 has to be replaced by a rite d_1*, in which seventeen *sāmidhenṇ* verses are recited. We cannot simply represent this transformation by adding an expression:

$$d_1 \rightarrow d_1^{\bullet}$$
(4)

for the effect of this would be that all occurrences of d_1 are replaced by occurrences of d_1*. What we must do is, replace by d_1* only the d_1 in the second occurrence of D in P. This can be done by introducing a different kind of rule which can be effected by means of an expression which uses a different symbol instead of the single arrow $\rightarrow$, for example a double arrow $\Rightarrow$. We have to represent the entire configuration in which d_1 occurs since it is not otherwise possible to single out the d_1 we wish to single out. This can be done as follows:

(5)
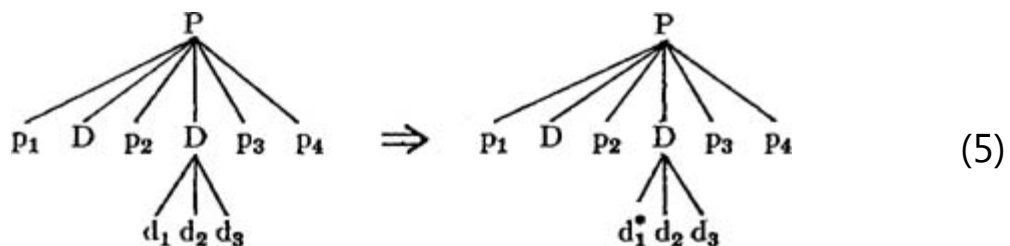
Again, this rule does not correspond to any actual rule, but it expresses, precisely, the feature of ritual structure which I have referred to as *modification*. In the forthcoming article on "Ritual Syntax" I have shown that there are also other types of ritual rules than those which exhibit embedding and modification.

IV

No linguist will have failed to observe the similarity of these ritual rules with the rules of syntax. The single arrow rules which pertain to

ritual embedding correspond to the phrase structure rules of syntax; the double arrow rules which pertain to ritual modification correspond to its transformational rules. This correspondence is not due to the fact that I selected ritual rules which appear to resemble syntactic rules. The rules of embedding and modification are in fact very basic rules of ritual, or at least of Vedic ritual.

The partial similarity between ritual and syntax could mean that ritualists follow, albeit unconsciously, the rules of syntax which they had internalized when they learned their native language. I am inclined to the opposite view: syntax comes from ritual. A simple consideration in support of this idea is that animals have ritual, but not language. But there are weightier considerations. Syntax is the part of language which stands most in need of explanation. Language relates sounds to meanings, and so it must necessarily comprise a domain of sounds (studied in phonetics and phonology) and a domain of meanings (studied in semantics). If language were rational and adapted to its purpose, sounds and meanings would be related by means of a 1–1 correspondance. If this were true of natural languages, assuming semantics to be universal, different natural languages would also stand to each other in a 1–1 correspondance, and translation could be effected with the help of dictionaries only. There would be no need for artificial languages, and logicians would be out of business.

What we do find in language is something different. Meanings and sounds are related to each other through a vast and complicated domain of structured rules: syntax. The transition between sound and meaning is unnecessarily complex, roundabout and mathematically absurd. "Nobody in his right mind would attempt to build an artificial language based on phrase structure plus transformations" (J. A. Fodor[8]). How are we to explain such apparent redundancies? It is not enough to say, as communication theorists might, that redundancies

are necessary for communication because they decrease mistakes in reception. That assumes that language is only for the sake of communication, which it is not. More importantly, such redundancies, to perform their alleged function, merely need be random: which cannot explain syntax, a structured domain of specific rules which in fact makes language unlogical and inefficient. These specific rules, which are without rhyme or reason, must come from elsewhere. They look like a rudiment of something quite diferent. The similarity between syntax and ritual suggests that the origin of syntax is ritual.

The ritual origin of syntax has implications not only in language but also in religion. I shall mention three. Ritual is replete with language, but it is very often meaningless language. When a small golden image of a man is buried under the fire altar of the Agnicayana, the Chief Priest of the Sāmaveda chants songs which contain such sounds as:

> kā hvā hvā hvā hvā hvā
> phal phal phal phal phal
> hau hau hau hau hau
> bham bham... (eighteen times).

Such structured sounds partake of the syntax of ritual, but do not relate to meaning. This applies to most mantras. Originally, language was born when such structured sounds were connected with meaning. The state immediately preceding language survives in religion as mantras and magical spells: *abracadabra*. Unlike language, these are universal and need no translation. The abundance of such formulas in Buddhism facilitated its introduction into China, where their way was paved by the sacred noises of popular Taoism.

A second feature is that mysticism is characterized by the absence of language. It points to a pre-linguistic state which can be induced

by ritual, by recitation, by silent meditation on mantras, or by other means, as I have shown in *Exploring Mysticism*. All these methods help to eliminate meaning, sound and (ritual) structure.

Wittgenstein had an inkling of the place which language occupies in religion when he remarked:

> Is speech essential for religion? I can very well imagine a religion in which there are no doctrines, and hence nothing is said. Obviously the essence of religion can have nothing to do with the fact that speech occurs — or rather: if speech does occur, this itself is a component of religious behavior [the German original has: *Handlung*, "activity"] and not a theory. Therefore nothing turns on whether the words are true, false or nonsensical.[9]

The ritual origin of syntax is connected with another curious fact, which I mentioned in passing: the Vedic gods fought and created not only with ritual, but also with meters and chants. What an extraordinary thing to do! But no, it is not. Meters and chants are like ritual in that they fail to express meaning, but reflect syntactic structure in its pure form, hence pure activity.

VII

We have not come to the end of our investigation. On the contrary, we have hardly begun. What I hope to have shown is that ritual, which has so far been impervious to our understanding, is meaningless and also a subject amenable to serious study. Once we abandon generalities and start working, a first adequate theory will undoubtedly emerge, sooner or later. Such a theory will not only elucidate ritual; it will throw light on the origins of language, religion, and perhaps man.

What will a theory of ritual be like? — Let us reflect once more on the Agnicayana. The main altar is constructed in the shape of a bird from 1005 kiln-fired bricks, 200 each in four layers, and 205 in the fifth layer which comes on top. The configuration of the first, third

and fifth layer is the same; and so is that of the second and fourth. The surface of each layer is 7-½ times a square of the Yajamāna's length. The bricks are of ten different shapes. There are 136 squares, 48 oblongs of one size, and 302 of another. In addition there are 207 halves of squares, 202 halves of oblongs, and five more groups consisting of bricks arrived at by further subdivision of the former shapes. There are ten bricks which are half as thick as all the others. All the bricks constitute furthermore another set of groups, each with its own name and consecrated by particular mantras. Most bricks have to be consecrated in a specific, very roundabout order; others may be consecrated in any order, provided one general direction is maintained and the location of the final brick is fixed. Some bricks have figures drawn on them. Others are lifted from their proper place, carried around the altar and put back before they can be fully consecrated. All of this, and much more, is in accordance with numerous precise rules, for which in almost all cases no explanation whatever is offered. Whether or not the rules are arbitrary, they are strictly adhered to. In case of controversy or differences of interpretation, various schools arise which establish different traditions. Unlike sects, ritual traditions co-exist peacefully, they are mutually exclusive and there is neither desire, nor mechanism for conversion. This feature, too, has become a mark of Indian religions.

And so we may return to the question what a theory of ritual would be like. It is unlikely that such a theory, if at all adequate, will be simple, viz., more simple than the ritual facts themselves. There will be complaints about its myriad rules, as there have been about Chomsky and Halle's *Sound Pattern of English*, Euclid's *Elements*, and the *śrauta sūtras*.

A final paragraph and consolation. There must be readers who are shocked, angry or depressed at the thought that ritual (not to mention religion and even language) is not only complex but also

meaningless. I am not a bit sad about it. I prefer a thing, like a person, to be itself, and not refer to something or somebody else. For all we know life itself may be meaningless. Seen from without, the life of an ant seems to be just that, a thought that must have occurred to King Solomon (*Proverbs* 6:6). Neither ants, nor we are any the worse for it.

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[1] H. Hubert and M. Mauss, "Essai sur la nature et la fonction du sacrifice," *Mélanges d'histoire et des religions*, 1909, page 22.

[2] A. Hillebrandt, *Ritual-Literatur, Vedische Opfer und Zauber*, Strassburg 1897, page 158.

[3] "De la méthode à suivre dans l' étude des rites et des mythes," *Revue de l'universityé de Bruxelles*, 1911, pages 505–23; English translation in J. Waardenburg (ed.), *Classical Approaches to the Study of Religion*, The Hague-Paris 1973, I, page 299.

[4] J. Huxley (ed.), "A Discussion on Ritualization of Behavior in Animals and Man," *Philosophical Transactions of the Royal Society of London*, 1966, Series B, No. 772, Vol. 251, page 254.

[5] Cf. J. C. Heesterman, "Vrātya and Sacrifice," *Indo-Iranian Journal* 6, 1962, pages 34–36.

[6] Fung Yu-lan, *A History of Chinese Philosophy*, transl. Derk Bodde, Princeton 1952, I, page 297.

[7] "Ritual Syntax," *Sanskrit and Indian Studies. Essays in Honor of Daniel H. H. Ingalls*; "Ritual Structure," *Agni. The Vedic Ritual of the Fire Altar*, volume II.

[8] In: F. Smith and G. A. Miller (eds), *The Genesis of Language: A Psycholinguistic Approach*, Cambridge, Mass. 1966, page 270.

[9] F. Waismann, "Notes on Talks with Wittgenstein," *The Philosophical Review* 74, 1965, page 16.

ANALYSIS OF THE RELIGIOUS FACTORS IN INDIAN METAPHYSICS

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As has been indicated earlier, it is possible to show roughly why the various *viewpoints and schools of Indian metaphysics assumed the shapes that they did. It is often the case that a metaphysical system is a coherent elaboration of a single main thesis, or of some few central theses. From a cluster of insights (or supposed insights) a whole set of doctrines is excogitated. In the case of Indian philosophy, with its powerful connection with religion, it is necessary to look for the determining religious motivation behind the various *viewpoints. This, as we shall see, does not quite work in every case —especially *Logic-Atomism—but it works in a sufficient number to justify the procedure. It needs to be remembered, too, that Indian philosophy is on the whole markedly *traditional*. That is, the roots of the different *viewpoints and schools usually go back a very long way, sometimes to disappear into the recesses of unknown antiquity. Consequently, the shape of a system is often determined, so far as we can see, by factors other than those of speculative inquiry. This is a further reason why there is a need to consider the systems in relation to underlying religious intuitions which, more often than not, they express.

All this is not to say that the arguments which we shall be describing in the Part II are valueless because they (so some might think) are mere rationalizations designed to bolster existing prejudices. Such a view would be quite misleading, for at least two

reasons. First of all, though an analysis of religious motives will serve to illuminate the underlying reasons for the main shape of the various systems under discussion, it only does that. It cannot hope to be an account which explains all the details, and where the latter are concerned with, for example, epistemological issues, it is wise to consider them as determined, so to say, by reason rather than faith. Second, the validity or otherwise of arguments, and their intrinsic interest, do not depend upon their provenance or upon who utters them. It would be as foolish to ignore the dialectical side of Indian philosophy out of a scepticism about religion as it would be to dismiss Western mediaeval philosophy solely because of its general alliance with theology. It should also be recognized that though the basic insights of a system may be religious in character, the working up of the system which expresses them may be a task exhibiting considerable brilliance. One is inclined to feel this in the case of Śankara. His idealism is perhaps, to eyes unaccustomed to the spiritual intentions of such a form of speculation, bizarre. But there is no mistaking its curious boldness and economy.

In the course of the preceding chapters I have made some brief attempt to characterize some of the religious motivations of the systems, and this will have sufficiently indicated the main features of the present analysis. It will already have become apparent, for example, that the activities of *meditation, or yoga as broadly considered, and of worship and *devotion to God provide a polarity which helps to account for the shapes of various systems. It is extraordinarily important, if we are to give an account of the matter in terms of religious insights, etc., that attention be paid to empirical religion, and in particular to the religious procedures and activities lying at its centre. It is not sufficient to say about a metaphysician or theologian that, for instance, he wishes to resist a pantheistic doctrine and therefore argues that such-and-such. We want to know

further about his distaste for pantheism. We will usually find either that he is resting on some orthodoxy, which puts the problem back a stage, or that (more likely) his feeling for the distinctness of God and man, and therefore his suspicion of its apparent abrogation in a doctrine of pantheism, arises out of his practice of worship and of his consequent religious experience. We can say that there is a correlation between certain forms of religious experience and types of ritual or procedural ambience—the experience of the *soul's *isolation in contemplative states, for example, correlates with a form of yoga; and the idea of a personal God, met with in prayer, goes with a religion of adoration and worship. Thus it is important to relate doctrines to their earthly manifestation, in the practices and experiences of religion. In this, the Indian tradition constitutes an extraordinarily fascinating spiritual laboratory.

I have referred to *meditation and *devotionalism as constituting a polarity in religious practice and experience which will help to illuminate the varieties of Indian metaphysics. But *devotionalism, in the sense of fervent adoration of, and reliance on, the *Lord, is not strictly characteristic of the Upaniṣadic period; but emerges clearly first in the Gītā and in the Mhāayāna schools. But it is related to the earlier Brāhmanical religion: for it is the bringing into the formal worship of the holy *Power a strong element of love and obedience. In so far as *devotionalism occurs in an *orthodox context, as in the Gītā and the mediaeval theologies, the antique ritualism of the Veda is not repudiated, but reinterpreted as requiring as its inner essence the love of God. This is analogous to the way some of the sacrificial elements in Vedic ritual were reinterpreted from a yogic point of view. But already in the Upanisads there is clearly evident a strand of worship, itself going back to the worship expressed in the hymns of the Veda. Thus in an important way the *devotional religion of the Gītā can be seen as a deepening and personalizing of the formal

worship incorporated in Brahmanism. It would therefore be useful to keep in mind that the polarity is not just between *meditation and associated yogic practices on the one hand and *devotion on the other; but more broadly between yoga and the religion of worship (of which *devotionalism is a fervent expression). But since the schools and Viewpoints we are considering took their shape for the most part in the later period, I shall simply refer to this polarity as that between *meditation and *devotionalism.

The presence of these elements needs, as we have seen, to be correlated with doctrines; and for this purpose it is useful to select a few key concepts whose presence and absence in the various systems can be set out. The discrimination of these key ideas will involve comparisons between the schools, and will sometimes necessarily have a certain crudity. But the crudity will not be, I think, of such a degree as to vitiate the results. One cause of the crudity is that metaphysical schemes are organic, or partly so—in the sense that concepts have to be understood in the light of at least a segment of the whole system.

The first of the key ideas I wish to isolate is that of the Absolute. That is, we can ask about a *viewpoint: 'Does it affirm the existence of an Absolute?' By Absolute here, as we have seen earlier (p. 36), is meant the inner essence of the observable cosmos, which is conceived in an impersonal manner (i.e. in this way, it differs from the concept of the *Lord). As has been argued earlier (p. 59), this idea is affirmed in Mahayana schools, but not in the *Elder Doctrine: i.e. nirvana as conceived in the latter is not an Absolute in this sense. The use of the notion of an Absolute makes it possible for us to make a direct comparison between the Greater Vehicle schools we discussed in an earlier chapter and Śankara's *Non-Dualism. About both Śankara and these Buddhists it is true that they affirmed the existence of an Absolute.

The next key idea I wish to consider is that of the *Lord. Here it should be noted that I mean a personal God, but not necessarily a Creator. Thus the celestial Buddha who forms the object of *devotionalism in the Greater Vehicle can be counted as equivalent to the Hindu notion of the *Lord, even though in Buddhism there is strictly no doctrine of the *creation of the world (in line with the Buddha's agnosticism).[1] Then again, in so far as later Yoga developed a doctrine of God, this was simply belief in an ever-liberated *soul who was *Lord and object of meditation, etc., but not creator of the world. Thus we can ask about the notion of a *Lord in a particular system: 'Does the system affirm the existence of such a being?' and also: 'Is the *Lord creator of the world?'

A third key idea is that of an eternal *soul, *self or *life-monad (these are essentially equivalent in the Indian tradition). Since this is distinguished from the empirical ego and the psycho-physical organism, we can ask, in regard to each system: 'Does each psycho-physical organism possess an individual *self?' Thus we would answer 'No' in regard to *Non-Dualism. This Viewpoint does, however, make use of the concept of an eternal (but unitary) *Self, but in view of its identification with the Absolute, we may neglect framing a separate question to cover this case. As we have seen, there are differences within and between the various Viewpoints as the constitution of the *selves, but these variations will be neglected for the time being.

A fourth key idea in the Indian tradition is that of rebirth or reincarnation. All systems save *Materialism share this belief: but it needs to be distinguished from belief in an eternal or everlasting *self, since (as in Buddhism and in *Non-Dualism) one can have the concept of a transmigrating person who does not possess an individual eternal *self.

Fifth, throughout the tradition, except for *Materialism, there is belief in the possibility of *release. Again, there are variations in the way in which it is described, and some variety in terminology (for instance, nirvana, one of the words for *release in the Indian tradition, has virtually replaced its rivals in the description of Buddhist salvation).

As a preliminary move we can draw up a table to exhibit the pattern of belief in terms of these key ideas in relation to the *meditation- *devotionalism polarity. But in virtue of the close association between some schools—*Distinctionism and Yoga, for example, certain differences of emphasis may be obscured. Thus though both *Distinctionism and Yoga, typically of mystical or contemplative thought, lay stress on inner *knowledge, the former school is more 'intellectual' in its emphasis. Likewise the *Void school in relation to its close relation, Buddhist *Idealism. By 'intellectual' is meant here that the part played by reflection on metaphysical truths, so that they acquire an existential impact, is given more prominence than the psycho-physical postures and exercises of yoga. However, this merely represents a further polarity within the conception of *meditation in the Indian tradition. As we have seen earlier, the contemplative path is undertaken in terms of a certain conceptual ambience, and a grasp of metaphysical truth is supposed to go alongside the attainment of contemplative states (thus both *insight and *peace are elements of nirvana). The pursuit of this gnosis thus has two sides to it; and the polarity between metaphysical *knowledge and yogic experience sometimes leads to a bifurcation between the two sides.[2] One may compare the bifurcation between faith and works within the sphere of devotional Christianity. Thus in our preliminary table, I shall use the category *meditative *knowledge to cover both sides of the polarity. We shall then further

have to see what difference it will make to our correlations if a distinction within this category is made.

There is a further complication to take account of. Both Śankara and some Mahāyānists affirm both belief in the Absolute and in a *Lord. But it is important for our purposes to distinguish between the emphases the two ideas have. This difference metaphysically is represented by the fact that the *Lord is conceived as being connected with an *illusory world and so shares in its *illusoriness or *insubstantiality. It is therefore an idea at the 'lower' or *ordinary level of truth that is in use when we make empirical statements, etc. It is therefore convenient to insert a further question about the systems, namely 'Is the cosmos a reality?' This will show in a general way whether a system is idealistic or not. Where the answer to the question about the cosmos is 'No', it should be kept in mind that the idea of the *Lord has merely secondary importance. We may now consider our questions in relation to the systems, by means of the following table. 'X' means that the idea is affirmed; 'O' that it is either absent or denied. In the lines of the table referring to *devotion and *meditation, the symbols mean that one and not the other is the dominant spiritual practice: but we shall later have to investigate the relation between the two in a little more detail. For convenience, I have arranged the table so that, where possible, the neighbours of a system show the nearest similarities to it.

Some significant facts emerge from a contemplation of this table. It happens, however, that *Logic-*Atomism and Yoga are, for idiosyncratic reasons which I shall come to, jokers in my pack. If we neglect them for the moment, our list of correlations is increased, and I shall then explain why my analysis of the situation does not, superficially at least, fit these *viewpoints. Our facts, then, are as follows.

(1) Where *devotion is important, there is belief in a *Lord.

(2) Belief in an Absolute is coupled with belief in a *Lord at a lower level of truth.

(3) Stress on *meditation as primary implies that the *Lord is not regarded as primary.

(4) Belief in the *Lord as primary correlates with a belief in many *selves.

(5) Where *meditation is primary, there is no belief in a genuine *creator (column 1 shows a *creator; but one that is implicated in the grand *illusion).

	*NON-DUALISM	*VOIDISM	*IDEALISM	*QUALIFIED NON-DUALISM	*DUALISM	*ŚAIVITE DOCTRINE	*LOGIC-*ATOMISM	YOGA	*DISTINCTIONISM	*EXEGESIS	JAINISM	*ELDER DOCTRINE	*MATERIALISM
Absolute	X	X	X	O	O	O	O	O	O	O	O	O	O
*Lord	X	X	X	X	X	X	X	X	O	O	O	O	O
*Creator	X	O	O	X	X	X	X	O	O	O	O	O	O
world real	O	O	O	X	X	X	X	X	X	X	X	X	X
*selves	O	O	O	X	X	X	X	X	X	X	X	O	O
rebirth	X	X	X	X	X	X	X	X	X	X	X	X	O
*release	X	X	X	X	X	X	X	X	X	X	X	X	O
*devotion	O	O	O	X	X	X	O	O	O	O	O	O	O
*meditative knowledge	X	X	X	O	O	O	X	X	X	O	X	X	O

We may also observe from the table that similarities are crossreligious: Hindu *Non-Dualism is close to Buddhist *Voidism: Jainism is close to *Distinctionism. Vaiṣṇavite *Dualism and Śaivite Doctrine are akin. These facts serve to encourage an analysis in terms of religious experience, since such an explanation ought not to apply to one tradition alone: that is, the idea that a certain type of religious experience is specific to one tradition alone would explain little.

The above-listed facts clearly indicate the correlation between *devotionalism and *theism. But they leave obscure the reason why it is that a primary emphasis on *meditation should result either in Absolutism or *atheism. Nevertheless (2) provides a hint. The hint can be followed up by further considering the relation between *meditation and *devotion and worship in the principal systems we are considering. Now if we contrast the *Elder Doctrine with the Mahāyāna schools we note that in the latter, though *devotionalism plays a subordinate part, it certainly exists. That is to say, with the Mahāyāna, as we have seen, there was a considerable growth of popular religion, and with it the development of a fairly fervent *devotionalism. This was, in a sense, tamed by the orthodoxically Buddhist insistence on the contemplative life as the culmination of the Path. But in comparison with the *Elder Doctrine, which even in later days does not recognize the worship—in the proper signification of the term—of the Buddha, and which of course does not accept the idea of a transcendent Being who might serve as the object of worship, the Greater Vehicle schools show a remarkable degree of *devotionalism. It becomes indeed a secondary means of salvation, for faith in the Buddha helps towards the realization of a more refined spiritual life, whether in this world or in some *heaven. It becomes part of the way of the Bodhisattva. A very similar situation obtains in regard to *Non-Dualism. For the religion of worship is recognized as part of the preparation for the ultimate realization of non-duality. Even if it be an inferior form of faith, it is *praeparatio mystica*. In both the Greater Vehicle schools and *Non-Dualism, therefore, *devotionalism is an ancillary to *meditative *knowledge. (The doctrine of rebirth clearly makes it easier for such a view to be taken: though the lower-level truth may be inferior, it can be of use to people who are at a certain stage of development, and may assist them to higher attainments in one of their lives to come.)

We might signalize this relation between *meditation and *devotion in the Absolutistic schools by assigning different weights to the two forms of religious life. In revising the bottom two lines of our table, we shall adopt this procedure. But meanwhile a further problem afflicts us—namely what we are to say about, for intance, the religious life of the *Dualist school. As we saw earlier, in dealing with this system, Madhva certainly makes a form of *meditation central to the spiritual life. However, what he meant by *meditation does not quite correspond to its significance in *Non-Dualism, Yoga and elsewhere. For *meditation involves an awareness of God as its object, according to Madhva. That is, it is the contemplative life suffused with, and seen from the perspective of, *devotionalism. It would not be misleading to describe this as *devotional *meditation, and assign it to a separate category for the purposes of this analysis. For since it is *meditation somewhat suffused with a theistic attitude, it would be unclear, if we wish to show the relative weights of *devotion and *meditation in the various systems (or in the religious life correlated with them), to pigeonhole it simply either with one arm of our polarity or the other. Thus *Dualism is correlated with both *devotional *meditation and the purely devotional religion of worship which Vaiṣṇavism tends to express. Similar remarks can be made about Śaivite Doctrine, as we saw in our discussion of that school. The concept of *devotional *meditation will also be of use when we deal with one of our 'jokers', namely Yoga. Yoga in essence was almost certainly *atheistic until a fairly late period, and the grafting on of belief in a *Lord was little more than the recognition that *orthodox Yogins by then were already using a form of meditation, in addition to the mainstream practices distilled in Yoga, one which involved *meditation upon the splendour of the *Lord, as a means helping the adept towards his ultimate goal. In this way, Yoga was affected, but only very moderately and marginally, by the growth of *devotional religion in the period from the *Gītā* onwards.

There are some remarks too which need to be made about the other 'joker', namely *Logic-*Atomism. Here it is indeed hard to account for the shape of the system by reference directly to the religious insights, etc., which it wished to express. Not only was it probably *atheistic; but also, it seems to have grafted on to itself elements from *orthodox religion in a very formal way. In view of its origins, it was not primarily interested in presenting any sort of way of salvation. In theory, however, it was intellectualist in its prescription for *release. Knowledge of the true system was adequate for salvation. Superficially therefore it looked like *Distinctionism. But it would be spurious to explain its features directly by reference to the forms of the religious life we are now considering; and so I shall continue to neglect it, for the time being, in this analysis.

*Logic-*Atomism is, in a sense, doubly the converse of *Exegesis. The latter is a very curious phenomenon. It arose, of course, from the need to give a reasoned account of ritual. But ritual itself was in origin merely a highly formalized means of expressing men's relations to the gods of Vedic religion. It thus springs from the activities of worship and sacrifice, which themselves foreshadow the more intensely personal *devotionalism of later Indian religion. But the growth of ritualism detached the ritual from the gods, and the holy *Power came to be conceived—not as a single being underlying the many gods, its variegated manifestation—but as something implicit in ritual activities: a force to be manipulated. In some respects, this was not surprising—since the concept of an impersonal power implicit in ritual or other objects is not uncommon in early religion. But in effect *Exegesis represents a stage where the outer manifestations of religion which had a direct connection with worship have become quite detached from that ambience. This is why, in our table, neither side of the polarity is represented in the

column devoted to *Exegesis. I have said that *Logic-*Atomism is its double converse. First, it makes formal recognition of God and thus includes what is so oddly omitted from *Exegesis. And second, the detachment of *Logic-*Atomism from the springs of religion occurred in a way opposite to the manner in which it happened to *Exegesis. *Exegesis has moved away, as it were, from the religious origins from which it sprang. *Logic-*Atomism was without such religious origins, but moved towards a more *orthodox religious form by engrafting a doctrine of God (as well as recognition of *revelation).

There is one further point about the revision of the bottom two lines of our table. Rāmānuja, as we noted, recognized (perhaps grudgingly) the possibility of a form of *release through identification with the *self in yogic experience. It was an inferior form: but it should be registered on our table (it is interesting that in the *Gītā* there is a rather similar doctrine of priorities in *release as between those who follow the path of *devotion and those who isolate the *self in inner experience).

The lower part of the table can now be revised as follows (where the numbers register in an unavoidably crude way the priority-relations between the different forms of spiritual activity, etc.):

	ND	VO	ID	QN	DU	SD	YO	DI	EX	JA	ED	MA
*devotion	I	I	I	3	2	2	0	0	0	0	0	0
*devotional meditation	–	–	–	–	2	2	I	–	–	–	–	–
*meditation-*knowledge	3	3	3	I	0	0	3	4	0	4	4	0

This revision clarifies a number of things not quite obvious in our previous correlation of doctrines and religious attitudes.

(1) An element of (pure, i.e. neglecting devotional *meditation) *devotionalism implies a doctrine of a personal *Lord.

(2) Where *meditation outweighs *devotionalism, but where the latter exists, there is a doctrine of an Absolute.

(3) Exclusive concentration of *meditational means of salvation is correlated with a belief in a plurality of *selves or (in the *Elder Doctrine) with a virtual pluralism, and certainly not with a monistic doctrine.

(4) Where *devotionalism outweighs the *meditative side of the polarity, there is a doctrine of the *Lord as the supreme reality.

We can also note certain points about one or more of the systems. Thus Rāmānuja represents *Non-Dualism upside down, so to speak. It contains an exact reversal of priorities. Again, *Qualified Non-Dualism, *Dualism and the *Śaivite Doctrine involve roughly equal elements of *devotionalism, though it is more intensely expressed in the first of the three. It is perchance no accident that these three come closest to theism as it is conceived in the faiths of Semitic origin. Again, Yoga among all the systems which include a *Lord, has the weakest *devotional element: it should thus occasion no surprise that the position of the *Lord is rather marginal in the history of the *viewpoint and that he is not conceived as having the *creative powers usually ascribed to the *Lord elsewhere in Hinduism.

A reflection on all this serves to show an important point about the Absolutistic schools. They succeed in integrating the doctrine of God into an essentially *meditative ambience in such a way that it is quite clear that worship and *devotion are quite secondary. This contrasts with the status of the *Lord in Yoga (which might up to a point be thought to be expressing a similar priority), who is both semi-detached and something of an afterthought. In any event for Yoga there was not the same compelling need as in the Greater Vehicle to integrate popular religion with the quest for nirvana. The forces of *devotion were more powerful there, and had important associations

with a strong ethic of compassion and self-sacrifice. Thus we might claim that the notion of an Absolute (which is sometimes thought to be typical of mysticism—the seeing the One in All) only emerges in the fully-fledged form which we find in later Buddhist and mediaeval Indian religion as a concept which paradoxically owes its application to *devotionalism rather than to mysticism pure and simple. To put the matter in another way: the typical expression of contemplative religion in India is pluralistic, not monistic.

One main reason for this paradox is as follows. The more advanced or developed forms of *devotionalism move unmistakably in the direction of a single object of worship—or at least a unified complex of such lords. The many gods are seen as subordinate manifestations of the supreme *Lord: the many Buddhas and Bodhisattvas are the one Being, essentially. Thus *devotionalism increasingly requires an underlying unity in the objects of its expression. By conceiving of the Buddhas as united mysteriously in their *Truth-Body, and by the identification of this with ultimate reality, the Greater Vehicle schools provided such a unified focus to popular religion. It is interesting by contrast to notice the situation in the *Elder School. For the *Elders, there was no question of worshipping the Buddha, for doctrinal reasons. There could thus be no outlet for *devotionalism in accordance with Buddhist orthodoxy, save in relation to existing, non-Buddhistic cults. Thus polytheism was retained, on condition that it was to be seen by the faithful as in the last analysis quite irrelevant to spiritual welfare. The gods were overcome by being ignored. Polytheism was transcended not in the direction of theism, but by nirvana, which had nothing to do with worship, etc. But, as we have said, the situation in the Greater Vehicle was very different. *Devotionalism was incorporated into the faith, and was recognized through doctrines which approached theism but at the same time were themselves subordinate to the concept of an Absolute with

which the contemplative could identify himself through inner experience.

The Absolute, therefore, in Buddhism served two functions. First, in its emptiness, its *Voidness, its impersonality, it retained the qualities of nirvana: that is, it was recognizable that the contemplative goal of the Greater Vehicle had strong analogies to the nirvana conceived in the Lesser. Second, and relevantly to our remarks about the paradox of the Absolute, the Absolute served as a substratum in which the Buddhas manifested to the religious imagination of devotees could inhere. It was not surprising, then, that in later developments of the Greater Vehicle there should emerge a tendency to treat the Absolute itself as a personal Being, and for a form of theism (or something close in spirit to theism) to usurp the quest for nirvana as originally understood. It was not surprising, for it meant that *devotionalism had broken through the barrier with which the classical Mhāayāna concept of the Absolute presented. This barrier lay in idealism of one kind or another: the notion that the ordinary world of experience is selfcontradictory if taken as independently real. Such an idealism was coordinated to a two-level theory of truth, as we saw. Thus the Absolute was the higher truth—the goal to which, like fingers pointing at the moon, the doctrines ultimately refer. But the *Lord belongs to the lower realm—the ambit of men's imagination. Thus in the Greater Vehicle schools, *devotionalism, together with something approaching theism, is incorporated, but made subordinate to the contemplative knowledge of the Absolute.

This transition from a virtually pluralistic system (as carried on by the *Elder School) was made the easier by the form of that virtual pluralism. The repudiation of the doctrine of *selves meant that the Buddha, while retaining the rough form in which early Indian mystical religion was expressed—in Jainism and the precursors of Yoga, for example—had strictly speaking gone beyond *soul-pluralism. It was

thus a possibility that sooner or later nirvana might be conceived as a monistic reality, rather than as a state attained separately by divers individuals. Thus the way was open to the Greater Vehicle reinterpretation of the transcendent.

The Absolutism of the Greater Vehicle of course had a considerable influence upon Śankara; and we can see similar factors at work in his metaphysics. Again, the two levels of truth mean that he can incorporate *devotionalism without allowing it to capture the castle.

We may note too that though idealism or *illusionism is a means of expressing the lower status of *devotion and of ordinary life, when compared with the resplendent attainment of contemplative *insight, it also directly expresses something of mysticism itself. In the pluralistic systems which concentrate upon yoga and *meditation, *release means that the *soul vanishes from the world. The world is conceived as real, and the *soul simply vanishes from it. This concept of liberation reflects the 'voidness' of the contemplative's consciousness—voidness, that is, in terms of the perceptions, images and thoughts arising out of, and referring to, empirical existence. But in Śankara the situation is, so to speak, reversed: the world, looked at from the standpoint of the illuminated *self, vanishes. And though for ordinary purposes one still has to go on living in the world and uttering statements about empirical matters, the world no longer looks as it once did: it is an insubstantial wraith, a dream, a grand illusion, God's conjuring trick.

It may be objected to the above analysis of how injection of *devotionalism turns contemplative pluralism into a doctrine of the Absolute, that it is not sufficiently historical. For if Śankara be a case in point, surely it should be recognized that he derives his monism from the Upaniṣads. There are several remarks to be made about

this. First, though there are *Non-Dualistic elements in the Veda, we still need to explain why Indian theologians and metaphysicians came to interpret *revelation in such differing ways. Our analysis is clearly relevant to the various emphases placed upon different statements in *revelation, which justify the various interpretations. Second, the analysis fits the Greater Vehicle schools, and these in turn influenced Śankara, as we saw. Third, a similar analysis has to be given about Upaniṣadic *non-dualism itself. That is, the Upanisads unmistakably manifest the importation into Aryan religion of yogic elements, including belief in rebirth, which were not characteristic at all of the early parts of *revelation. In short, the sacrificial religion of the earlier period, and the worship of gods and God, is seen here for the first time in relation to the yogi's inner quest. The identification of the holy *Power with the *self within represents the supreme expression, in the Upanisads, of the synthesis between these two forms of religion. That an impersonalistic interpretation of the Upaniṣads was possible for Śankara and others, through the doctrine of the Absolute, was facilitated by the fact to which we have already referred—that the *Power was conceived not merely as a holy Being sustaining the cosmos in a personal way, as *Creator, but also as the force implicit in the sacrifice: an impersonal force. A generalization of this sacrificial idea meant that the whole cosmos was one great ritual in which and through which the *Power worked. It followed that in the Upanisads there is a considerable ambivalence between the personal and impersonal aspects of the holy *Power. Thus again, it is as well to see Upanisadic religion as a synthesis between the cult of the numinous, whether personally or impersonally conceived, and the interior yogic quest. Here too there was a tendency for *soul-pluralism to be swallowed up into a monistic doctrine. Nevertheless, it would be wrong to see any one teaching as running consistently through all the classical Upanisads, and this is one reason for the divergence of interpretations. But in this connection our first remark

in reply to the objection must be repeated with emphasis: we want to know why one interpretation rather than another was put upon *revelation, and here the analysis in terms of different strands of religious practice and experience is extremely relevant.

The thesis that *Distinctionism, Yoga, Jainism and Buddhism represent a common stream of non-Aryan religion (a thesis which lies behind the remarks above about the importation of yogic elements in the Upaniṣads) is seen to have some force when we contemplate the first table. If we remove the notion of a *Lord from Yoga (in accordance with its most probable state early on in its development), we note that *Distinctionism, Yoga and Jainism have an exactly similar pattern, and *Elder Buddhism diverges in only one main particular. However, it is not merely doctrinal likeness that the thesis is based on, but mythological similarity also (especially as between Jainism and Buddhism).

We may sum up our results so far by enunciating the followingprinciples which appear to determine the shape of the main systems inthe Indian tradition:

(1) Contemplative religion, in its 'pure' form, i.e. where *devotionalism and worship are neglected as irrelevant to *release, etc., is either pluralistic or (in the case of early Buddhism) starts from, but transcends, pluralism.

(2) *Devotional religion is correlated with a doctrine of a *Lord, regarded as distinct from *souls and the world.

(3) Contemplative religion is formulated as the quest for identification with the Absolute when it receives a strong injection of *devotionalism and worship.

In brief, the various patterns of Indian metaphysics reflect a varied emphasis upon *meditation and *devotionalism.

That Indian mysticism should, in a sense, be typically pluralistic, and, in Buddhism of an early period, non-monistic; and that it should be typically *atheistic or agnostic;—these ideas may strike some people, brought up in the tradition of the West, as strange. We are accustomed to think of mysticism and the contemplative life as directed towards God or a transcendent Ultimate Reality. It is also usual to think of monism as expressing an important aspect of mystical experience, the seeing of all things in One. This is 'panenhenic' mysticism, of which Professors Zaehner and Stace have written. Nevertheless, thc> ugh I would be far from denying that the experiences of seeing all things in one, and of gaining an ineffable *rapport* with nature, are not absent from Indian religion (it may be that some passages in the Upanisads reflect such an experience), the inner quest for a luminous state of pure consciousness, however this may be theologically interpreted, is much more central to the mystical tradition, both in East and West. It is an experience in the depths of the soul, not directed to outer reality as the panenhenic feeling is. Now in regard to interior contemplation it is certainly necessary to distinguish between experience and interpretation (as we remarked earlier). Those who tread the contemplative path do so in a certain conceptual ambience, and a certain religious milieu. The way they interpret their experience is obviously much affected by that ambience and milieu. Moreover, the differing conceptions of the nature of the path may directly affect the experience itself—injecting into it, as it were, an unconscious interpretation. It is for this reason extremely hard to tell about a given description of mystical experience how much is due to interpretative elements and how much to the experience itself. It is thus a dangerous procedure to say that, in regard to diversely described interior visions, there are in evidence different *types* of experience. For this reason I would be somewhat disinclined to assert that the *soul-pluralistic mysticism which typifies yoga is a different variety in essence from the theistic

mysticism of, say, the Therāvada. It may perchance be so: but there is little advance in explanation where we account for the idiosyncrasies of different theologies and metaphysical schemes merely by postulating a different kind of experience to go with each. It is true that we need to distinguish more than one kind of religious experience if any explanation in these terms is possible: but our division between the religion of worship on the one hand and mysticism on the other seems to supply sufficient material with which to explain the varied patterns of Indian theology—the diversity of pattern arising from the varied strengths of the two ingredients.

Moreover, it is not unnatural at all that mysticism should in its 'pure' state be interpreted in a *soul-pluralistic way. Only if you already possess the concept of God, for instance, does it make sense to interpret the inner vision as a vision of such a transcendent Being. If one's religious quest is simply concentrated upon inner contemplation, and if God and worship are irrelevant, and the gods peripheral, it is very natural to see the yogic experience as a realization of the eternal element lying 'within' the individual. It is at first sight, moreover, natural enough to think of there being many such *souls. This of course is especially likely if there is already the belief in rebirth with its attendant assumption that there is an everlasting something which transmigrates from body to body. It is therefore most understandable that pluralism should be the typical form of non-*theistic mysticism in the Indian tradition—only to be modified when it comes into synthesis with other religious elements.

But it is also intelligible, as we have seen in discussing the *Elder Doctrine, diat a transcendence of such *soul-pluralism should be taught as a further, and in many respects more subtle, interpretation. For since the experience of the yogi involves going beyond the ordinary discriminations of perceptual, imaginative and ratiocinative experience, thus attaining a certain 'voidness', looked at from the

point of view of the world, it is rather hard to distinguish one mystic's content of experience from another's. The undifferentiated nature of the experience thus opens the way to the abandonment of the notion of individual *souls or *selves, though without the implication that therefore there is just one *Self. (Where discriminations do not apply, neither do numbers, including the number *one*)) Thus the Buddhist position of, so to say, starting from a pluralistic base but going beyond it is an intelligible development from *soul-pluralism. Of course, other motives and reasons entered into the Buddhist denial of the *selves, as we saw: it is, for one thing, part of the attack upon the notion of the substantial *permanence of things. It is worth remarking too that of all the systems, the *Elder Doctrine has the least element of interpretation in its account of the contemplative attainment. Neither *Lord nor *self is invoked in the description of nirvana. It is thus 'pure' mysticism, not only in the sense of not including worship and *devotionalism as central to its concerns— indeed these, especially at an early stage, were quite neglected, and even later given no doctrinal sanction or justification—but also in the sense of having a minimal amount of doctrinal ramifications built into its descriptions.

It is worth commenting too on the way in which the religion of worship is expressed by the notion of a distinction between the *Lord and *selves. For the attitude of worship, and a sense of the holy or numinous other, as object of worship, implies a distinction between the worshipper and the Object of worship. This has, for instance, a very vivid expression in the prophetic faiths of Semitic origin. But also too in the Indian tradition, the proponents of *devotionalism as being the centre of the religious life stress the difference between God and the soul. Thus it is that Madhva and Rāmānuja felt clearly the need to repudiate Śankara's monism, since it ultimately made nonsense of the worship of Viṣṇu as supreme

Being. Nevertheless, the strong emphasis on mystical experience in the Indian tradition, with its accompanying tendency to be expressed, where the concept of a *Lord was present, as union with that Being, makes intelligible both the Upaniṣadic and the later Absolutistic identifications between the object of worship and the object of mystical experience. The non-duality of the experience, the absence from it of empirical discriminations, etc., lead very naturally to this idea of union. But where the union is interpreted as identity, clearly the notion of a *Lord as a distinct being and object of worship is seen to be illusory. What the worshipper sees as an Other is, in the last resort, identical with him. So that in Mhāayāna Absolutism, the *devotee in worshipping the Buddha is in effect worshipping his own future state, when he has attained non-dual *enlightenment. Hence it is of interest to note that many *theistic interpretations of the mystical experience attempted to express the union, not as identity, but as a kind of spiritual marriage: here there is intimate union—the most intimate possible—and yet a distinction (expressed in another tradition through the phrase 'one flesh'). Thus, for example, in Śaivite Doctrine, there is the image of Śiva as *Lord, who moves the *selves through his *energy, so that they gain a union with him; and both the *energy and the *selves are feminine: so there is a marriage, so to say, between the *selves and God's *energy or grace working in them, and the *Lord.

It is, of course, clear that a distinction between the *Lord and the devotee implies that if there are any eternal *selves, there are more than one. That is, dualism goes with *self-pluralism. (In principle one supposes that it might be possible to have a doctrine that all selves are united in one *Self and that this *Self is distinct from the *Lord whom it worships; but as far as I know such a doctrine is not propounded in the Indian tradition, and has a certain intuitive bizarreness.) The alliance between dualism and *soul-pluralism may

indeed help to account for possible Jain influences on Madhva. But at all events, it meant that typical yogic mysticism could be incorporated into, but subordinated to, a *devotional *theism. Thus we might express the relation between yoga and *theism in the *orthodox Indian tradition by the following principle: where *devotion and *meditation are combined, a preponderance of the latter leads to *soul-monism, where the *Self is identified with ultimate reality; where on the other hand, there is a preponderance of *devotion, yoga retains its typical shape as involving a doctrine of *soul-pluralism. It is perhaps a paradox (but we have seen already why it is so) that yoga, when it takes on the ambience of a *devotionalism it ultimately seeks to swallow, loses its typically pluralistic expression; but when it is tamed by *devotionalism it is allowed its doctrine of many *selves. These remarks, however, have to be somewhat adapted when dealing with the Buddhist situation. For, as we have seen, it is only a virtual pluralism which is discoverable in the* Elder Doctrine. Thus in those later Mahāyāna schools which emphasized the personal nature of ultimate reality, and a religion of *devotion, rather at the expence of the contemplative goal which hitherto had formed the centre of Buddhist aspirations, one meets a situation analogous in some ways to that of pre-Christian Judaism: a belief in the Supreme *Lord, but no doctrine of the eternity of the *self.

There is one further feature of the pattern of Indian religion and metaphysics which needs to be kept in view. Already we have noted, in the case of *Exegesis, the phenomenon of 'detachment', whereby an integral element in a form of religion has become detached and made central to the scheme. For 'Exegesis, this element in ritual. There is something similar to be observed in the case of *Distinctionism. We have already noted the polarity within one arm of our main polarity between *meditation and worship, namely that

between reflection upon metaphysical truths as a means of salvation and yogic self-training. But the two in fact are integral to one another in a way in which *devotionalism and *meditation are not. For, as we have repeated frequently enough, the contemplative quest has a conceptual ambience whereby it is interpreted. The doctrines enshrined in that ambience are not merely objects of speculation, but have to be realized existentially through contemplative experience. Thus doctrine and yoga go side by side. Consequently, when *knowledge or *insight is spoken of in the Indian religious tradition, it does not just mean the kind of theoretical understanding which might accrue from, say, the study of physics. *Knowledge is spiritual: and it involves 'seeing' in inner experience the truth of what is taught. Nevertheless, the phenomenon of detachment does occur, so that some *Distinctionist writers can appear to say that one can gain *release from doing metaphysics.

The respective emphasis upon *knowledge and yoga accounts for the contrast between the *Void and the *Idealist schools of the Greater Vehicle. Nāgārjuna's elaborate critique of common-sense concepts and of views about ultimate reality were, of course, intended as part of a process whereby the aspirant could come to the *non-dual experience of the *Void: it formed an intellectual yoga to be conjoined with the classical methods of Buddhist *meditation. But the intellectualist emphasis (a paradoxical one, since the philosophizing was designed ultimately to break down intellectual constructions put upon reality— a kind of metaphysical judo) could easily lead to some neglect of the heart of the Buddhist life. The *Idealists, therefore, while holding a general metaphysical position which was pretty close to that of the *Void school, preferred to stress the concept of *consciousness in their scheme. This reflected the practical training of the Buddhist yogin in purifying his mind of the ordinary discriminations of empirical experience. Thus the relation

between the *Void school and that of the *Yoga-practitioners corresponds somewhat to that between *Distinctionism and Yoga. But in so far as the *Voidist doctrines have remained a living force within the religious life of Buddhism, while *Distinctionism tends to serve only as a theoretical background to Yoga and a supplier of cosmological ideas to other schools, one can observe that *Distinctionism exhibits the phenomenon of detachment—it is a metaphysical system which has become somewhat removed from its sources in religious experience.

We may note another appearance of detachment. Jainism has the same yogic roots as *Distinctionism and Buddhism, though it retained the ideal of inner mystical *knowledge, it was also very considerably preoccupied with one aspect of the path of self-discipline. Its rather materialistic notion of karma lent added weight to this tendency to stress asceticism. It was not only in Jainism, of course, that such fierce austerity was practised. Some degree of asceticism is indeed, it appears from the history of religions, integral to contemplative mysticism. But in Jainism there was a trend towards making fierce austerity itself a means of *release. The Buddha, who wished to gain enlightenment in experience, and not simply escape from a sorrowful world, evidently found that such an exclusive emphasis on self-mortification was scarcely helpful in this aim. Thus we might say this: while *Distinctionism leans towards intellectualism, Jainism leans in the opposite direction, and again away from the central concern of yoga, towards austerity.

We may sum up our analysis of the systems with a series of thumbnail sketches, beginning from the right of our table.

*Materialism: a repudiation of all religion, but crippled because its scepticism cut at the roots of protoscience.

*Elder Doctrine: a scholastic elaboration of early Buddhism, wherein pure mysticism is given a minimal interpretation, but with a pluralistic flavour—it lies genuinely between Jainism and *Materialism.

Jainism: contemplative *soul-pluralism with archaic roots, but leaning heavily towards the cultivation of austerity.

*Exegesis: here ritual has become detached from worship, and neither *meditation nor *devotion are relevant—so there is heaven without God and without isolation.

*Distinctionism: *soul-pluralism which has an intellectualist slant, but arises out of yogic mysticism—it is the supplier of cosmology to many systems.

Yoga: *atheistic *soul-pluralism which has grafted on a *Lord, despite its almost exclusive concern with *meditation and neglect of genuine *devotionalism.

*Logic-*Atomism: an elaboration of protoscience and of patterns of dialectic, which has conformed to *orthodoxy by importing *theism.

*Śaivite Doctrine: the Śaivite *theist's contrast to the Śaivite Śankara, wherein *devotionalism infuses the *meditative life.

*Dualism: the Vaiṣṇavite counterpart to the foregoing: but though formally more theistic (by Western standards) than Rāmānuja, there is a less intense expression of the *soul's dependence on God, since *devotionalism, though it infuses *meditation, is less strongly expressed.

*Qualified Non-Dualism: while preserving the appearance of monism, it emphasizes God's grace and the *soul's dependence—it shows most strongly the logic of *devotion at work in the Indian tradition.

*Idealism: here the Buddhist yogi stresses a side that could be neglected in *Voidist Absolutism.

*Voidism: the Absolutism par excellence of Buddhism, wherein mysticism is expressed monistically, because of a strong injection into the Buddhist tradition of *devotionalism.

*Non-Dualism: like the foregoing, it is an expression of contemplative religion which incorporates, rather than ignores, the religion of worship.

So much for our general analysis. The account involves reference to one main polarity—between worship and yoga. Within each arm there are others: between the *devotional side and the ritual, in the case of worship; between *knowledge and *meditation on the yogic side. The detachment of ritual from its proper objects (God or the gods) led to the *Exegete position; the detachment of metaphysical *knowledge from its roots in mysticism led to the *Distinctionist position. Likewise the powerful emphasis on austerity (some degree of which is an element in all yoga) was expressed by the Jains. Our whole account is, quite obviously, a tremendous simplification of the complex facts. But it is to be hoped that thus the wood can be distinguished, and not, as so often, only the trees. It involves too the assumption that the determination of metaphysics by forms of religious experience and practice occurs that way round and not conversely. Now it is of course perfectly true that individuals are much influenced by the doctrines which they are taught and in this sense it is certainly true that theology and metaphysics are in some degree determinative of religious experience. Nevertheless, the assumption, as a general thesis, requires little justification—it would be indeed odd if metaphysics, considered as sets of propositions to be entertained and believed by people, should have the enormous effect of creating out of nothing the powerful religious experiences

of both great teachers and ordinary folk. It is easier to explain a dualism between God and the soul by reference to the experience of prophets and worshippers than to explain the latter by reference to a current doctrine of dualism. It is easier to see that the *Lord who is worshipped is also the God of metaphysics than to see why the God of metaphysics should be worshipped at all. In any event, if the correlations between doctrines and forms of religious life in the Indian tradition which I have been outlining is a valid one, some light will have been thrown on the situation.

I have, of course, not attempted to argue that one shape of metaphysics is better than any other. Nor have I attempted to argue for or against the veridical nature of *devotional or *meditative experience. These issues lie quite outside the tasks of description aand analysis, though of course these tasks are relevant to the questions of truth. One has to understand in order to believe—or not believe.

Glossary

[Ed.: Professor Smart's chapter utilizes the following asterisked English expressions as standardized translations of key Sanskrit and Pāli terms.

*atheism: *anīsvaravāda*

*creation: *sṛṣṭi*

*devotion: *bhakti*

*devotionalism: *bhaktimārga*

*Distinctionism: *Sāṃkhya*

*Dualism: *Dvaita*

*Elder Doctrine: *Theravāda, Sthaviravāda*

*energy: *śakti*

*enlightenment: *bodhi*

*Exegesis: *Mimāmsā*

*heaven: *sagga, svarga*

*Idealism: *Vijñānavāda*

*illusion: *māyā*

*insight: *paññā, prajñā*

*insubstantiality: *adravyatā*

*isolation: *kaivalya*

*knowledge: *vidyā, jñāna*

*life-monad: *jiva*

*Logic-Atomism: *Nyāya-Vaiśeṣika*

*Lord: *īśvara, issara*

*Materialism: Cārvāka, Lokāyata

*meditation: *dhyāna, jhāna*

*Non-Dualism: *Advaita*

*ordinary: *vyāvahārika*

*orthodox: *āstika*

*peace: *santi, śānti*

*permanence: *nicca, nitya*

*Power: *Brahman*

*Qualified Non-Dualism: *Viśiṣṭādvaita*

*release: *mokṣa, mukti, nirvāna, etc.*

*revelation: *śruti*

*Śaivite Doctrine: *Śaiva Siddhānta*

*self: *ātman, atta*

*Self: the single *ātman* identified with *Brahman* in Advaita Vedānta

*soul: *puruṣa*

*Truth-Body: *dharmakāya*

*viewpoint: *darśana*

*Void: *śūnyā*

*Voidism: *Mādhyamika, śūnyavāda*

*Voidness: *śūnyatā*

Daya Krishna

THREE MYTHS

ABOUT INDIAN PHILOSOPHY [*]

I

Indian Philosophy, like Indian culture, seems peculiarly prone to arouse either violent antipathy or violent enthusiasm.[1] Rarely does it engender an attitude which tries to present and assess it coolly and *calmly*, without positive or negative emotion. Nothing perhaps stands more in the way of such an attitude than the universally accepted ideas which I wish to explore in this paper. These three ideas are treated as indubitable facts about Indian philosophy. They seem so self-evident to enthusiasts and detractors alike that to question them seems to question the very concept of Indian philosophy as it has been traditionally conceived and presented by almost every writer on the subject. Yet, it seems to me that the time has come to question the traditional picture itself, to raise doubts about the indubitable, to investigate the sacrosanct and the self-evident. Myths have always masqueraded as facts and many a time the emperor's nudity has only been discovered by a child's disingenuity.

The self-evident claims about Indian philosophy are legion. First and foremost to strike even the most careless eye is the claim to spirituality. Who does not know that Indian philosophy is spiritual? Who has not been told that this is what specifically distinguishes it from Western philosophy and makes it something unique and apart from all the other philosophical traditions of the world? The claim, of course, is never put to the test. In fact, it seems so self-evident as to require no argument or evidence on its behalf. Nobody questions it. In point of fact, no serious or even casual student of the subject deems it worth questioning.

Yet, the moment we begin to doubt the claim and examine it for what it is worth, we find it spurious and mythical, to say the least.

After all, what exactly is meant by calling a whole philosophical tradition "spiritual." The term, in the ontological context, means that the nature of ultimate reality is held to be the same or similar to that of mind or spirit. The distinctive feature lies in the assertion of the primacy of consciousness as opposed to the inertness associated with and displayed by objects that are purely material in their nature. Spirit is opposed to Matter and the spiritualist Metaphysics implies that Spirit *alone* is real and what appears as Matter is *only* an appearance, something illusory, something unreal. The qualifying terms "*alone*" and "*only*" are of the utmost importance, for without them the view held cannot be characterized as "spiritual" in the ontological sense of the term.

Viewed in this perspective, Indian philosophy can hardly be characterized as spiritual in character. It certainly is true that most of the schools of Indian philosophy[*] do recognize the ultimate reality of Spirit in some form or other. But so do they also recognize the ultimate reality of Matter in some form or other. The Jainas, the Vaisesikas and the Sāmkhyans recognize it so openly that it can

hardly be missed by even the most starry-eyed student of the subject. The Cārvākas need not be mentioned in this connection, as they are regarded as "unmentionable" for this very reason by everybody except Debiprasad Chattopadhyaya and Walter Ruben who turn the tables and regard all the others as "untouchables" of Indian philosophy. The Naiyāyikas are usually supposed to accept the Vaisesika metaphysics, but it is seldom noted that they go a step further in the Cārvāka direction. Unlike the Cārvākas, they certainly believe in the ontological reality of soul but they deny to it the essential characteristic of consciousness which alone, according to everybody else, differentiates it from Matter. Consciousness, according to the Naiyāyikas, is not an inalienable quality of the soul but rather, as the Cārvākas say, a quality which arises in it when a collocation of circumstances accidentally comes to pass. In a radical sense, then, the Naiyāyika thinker comes closest to the classic position of Materialism as propounded in the history of thought. He, of course, believes in the ontological reality of God also. But that is another story and another matter.

There remain the Buddhists, the Mīmāmsakas, the Vedāntins and the followers of the so-called Yoga school of philosophy. Among these, the Mīmāmsakas subscribe to the metaphysical reality of all the substances which the Nyāya-Vaisesika thinkers hold to be real. Only they add certain others of their own also. Any one who contends for the ultimate reality of earth, water, fire and air among other things, can hardly be considered to believe in the reality of spirit *alone*. As for the Buddhists, their fundamental denial is of substantiality, whether it be that of spirit or of matter. In fact, two of the traditional schools of Buddhism assert the reality of the external world while denying, of course, its substantiality. It is only the Yogācāra who explicitly contends for the ideality or mentality of whatsoever exists. The Mādhyamikas, like the Advaita Vedāntists of a

later date, accept phenomenal reality and deny the ultimate reality of anything that can ever possibly be asserted.<superscript>*</superscript>

Vedānta, of course, is not Samkara-Vedānta only. It is merely a name to suggest that the philosopher who chose to call himself or his thought by that name assumed consciously the added responsibility of showing that that is exactly what the *Upanisads* really meant. Any doctrine, therefore, can call itself Vedānta provided it is prepared to sustain that it alone expresses the true and authentic meaning of the *Upanisads*. There are frank dualists like Mādhva who regard Matter or Prakrti as an eternal, independent principle in its own right and who call themselves Vedāntists. There is Rāmānuja who believes in the ultimate distinction in the nature of Matter from God but denies its independence in the sense of its not being subordinate to Him. And, then, there is the great Samkara who believes that the saying or the asserting of anything is in itself the surest sign of its ultimate unreality. For him, the individual soul and God are as unreal as Prakrti or Matter.

Matter, thus, is not unreal for Vedānta either. It is distinctly asserted to be ultimately real by the two major schools, those of Rāmānuja and of Mādhva. For the only remaining major school, the one of Samkara, it is as real as anything else. As for Yoga, it perhaps is counted among the traditional schools of Indian philosophy only as a matter of courtesy. There seems scarcely any reason to do so. It is entirely a system of practice and no one ever contends that it has any distinctive philosophical views of its own except the Samkhya view of the independent reality of Prakrti. It thus constitutes no exception to the almost universal acceptance of the ontic reality of Matter among the various schools of Indian philosophy.

Ontologically, then, the characterization of Indian philosophy as "spiritual" is completely erroneous. The only other context in which it

may be regarded as "spiritual" is that of morals or ethics. Here, it certainly is true that Indian thought has held spiritual salvation as the highest goal of individual seeking and striving. But this, it should be remembered, is a generalized feature of traditional Indian culture as a whole. Philosophy, as it were, only *accepts* this goal which the culture in general had set for the individual. It, of course, articulates, accentuates, defines and redefines the goal in a sharper and more conscious manner.

Even here, it would be interesting to point out that it was not until later that Moksa as a distinctive separate goal was accepted in Indian thought. As is well known, the early formulations of the goals of human seeking confined them to no more than three in number. These were known as *dharma, artha* and *kāma* which may roughly be described as the realms of law, rule or the prescribed, on the one hand (*dharma*), with those of the things desired (*kāma*) and the instrumentalities for their realization (*artha*), on the other. The introduction into this tripartite division of the ends of human life of a fourth goal was not so much the result of philosophical speculation as of the emergence into prominence of certain trends which were already present in the religious atmosphere of India. The so-called Sramana[*] tradition of Sāmkhya, Bauddha and Jaina traditions, is the root source from which stems the concept of Moksa in the orthodox Vedic traditions of India.[2] These traditions, at their origins, were primarily religious and their importance lay rather in the spiritual exploration of man than in his philosophical speculation. In the course of their evolution, they certainly produced later philosophical thinkers who articulated and argued for the theoretic and conceptual position supposed to be relevant to the specific differential insights of the original religious founders of their traditions.

The ideal of Moksa was, thus, a later take-over from the non-vedic religious and spiritual traditions of India. In this process, it was given

a more positive content than it had in the relatively more negative traditions of Buddhism, Jainism and Sāmkhya. The philosophers, here as there, defined and redefined, pointed out the difficulties of the concept and tried to meet those difficulties. But in the initial discovery of the concept they were not the initiators and innovators but only followers who worked and reworked what they had taken over or what had been handed down to them.

It may equally be remembered in this connection that there are few philosophers in any of the great historic traditions whose views on the ends of human life are not idealistic in some sense or other. The only distinctive feature of the Indian philosophers in this context seems to lie in their emphasis on the spiritual as against the moral, and the creation of a dichotomy or division between the two. The addition of Moksa as the fourth and final end of human seeking and striving was not a fulfilment of the other three but ultimately a denial or negation of them. Many thinkers of later India have striven to bridge the gulf between morality and spirituality but the legacy of the original dualism has persisted unchanged until today. The baffling paradox of a country which is felt by almost every foreigner to be at one and the same time the most spiritual and the most immoral can perhaps be rendered intelligible only in this way.

II

Indian philosophy, however, is not uniquely and distinctively characterized in terms of "spirituality" alone. There are other characterizations which are almost as universally current and which, on examination, are found to be as mythical as the one regarding spirituality. The other such characterization is in terms of "authority. "Almost invariably, each writer on Indian philosophy starts his account by drawing a distinction between the "orthodox" and "unorthodox" schools of Indian philosophy. This distinction is drawn

in terms of their acceptance or non-acceptance of the authority of the Vedas.

This is a commonplace about Indian philosophy, a commonplace that is repeated with such assurance of self-evidence that no possible doubt could be entertained about it. But what exactly could be meant by the acceptance of the Vedas as an authoritative basis for one's philosophical system? As far as I can see, the only legitimate meaning of such a claim in the philosophical context would be to maintain that the Vedas contain the ultimate philosophical truth and that the test of the truth of a philosophical position is whether or not it is in accordance with what is written in the Vedas.

Now if this were to be really the case, then the differences between the so-called "orthodox" schools of Indian philosophy would arise from their varying interpretations of what the Vedas really meant. But, is it really so? Is it true to say that Sāmkhya or Yoga or Nyāya or Vaisesika differ about the exact meaning which is to be put on the Vedic texts? Are they, so to speak, schools of interpretation which clash over what the Vedas really mean? This obviously is not the case. The classical texts of the various schools are not, even in form, a commentary upon the vedic texts. The two schools which may seem an obvious exception to this are Mīmāmsā and Vedānta. The former specifically upholds the authority of the Vedas and the latter ostensibly champions a genuine interpretation of the *Upanisads* which are supposed to be a part of the Vedas. The various schools of Vedānta may be said, with some justification, to be schools of interpretation in the required sense of the term. But even if the various schools of Vedānta may legitimately be so designated, it would not do to interpret the differences between Māmāmsa and Vedānta in the same way. They appear rather to differ as to what is to be regarded as really constituting the Vedas.

What, then, is to costitute the Vedas, seems to be the crucial question which first has to be answered if one is to have a meaningful discussion of the question about their authority in regard to Indian philosophy in particular and to Indian culture in general. The authoritative Vedas themselves were originally thought to be only three in number. Later, the authority of the fourth Veda also began to be accepted. In any case, the Vedas, it should be remembered, were always plural in number. Moreover, the authority of all of them was not equally securely established even during the times when they were being composed. Further, on the most conservative estimate, it took them at least a thousand years to assume their present shape. During these thousand years at least, their authority was never such as to preclude the possibility of making further additions to them. This obviously does not speak very much for their authority in those times. Later, even among those who have held seriously to their authority, there has always been a difference to which portion of the Vedas was to be regarded as authoritative and in reference to what subject matters and for what purposes.

The latter, it has not always been noted, is almost as important as the former. The Mīmāmsā, for example, does not merely deny the *Upanisads* the privilege of being counted among the corpus of vedic authority but even contends that any utterance which is not a pure injunction, that is, either a command or a prohibition, is also to be considered as Veda. This, it should be emphasized, is a revolutionary position whose implications for the issue of vedic authority for philosophy in India have hardly ever been noted. Vedas, according to this view, have no philosophic content whatsoever. Being pure injunctions, they have nothing to do with epistemological or metaphysical speculations or even with ethical *reflection*. A command or a prohibition, however moral, is not a *reflection* on the nature and

problem of morals which ethics undoubtedly is. The Mīmāmsaka's own philosophy, thus, is not a vedic philosophy at all since, according to him, Vedas do not contain any philosophy, whether of their own or of any other type. Vedic philosophy, strictly speaking, is a contradiction-in-terms and as such the purest type of non-being that we can imagine.

The Vedāntins, for their part, do certainly recognize the authority of the *Upanisads* but not of *Upanisads* only. They also recog-nize the authority of the *Gātā* and the *Brahma-sūtra* which are definitely not regarded as a part of the Vedas by anybody. Equally they honor with scant recognition the authority of the non-upanisadic portion of the Vedas. Nay more, their attitude to vedic autority is quite casual not to say almost Pickwickian in manner. Samkara, for example, in his commentary on the *Brahma-sūtras*, explicitly implies that they are not to be taken seriously when they deal with empirical matters of fact.[3] They are deemed authoritative only when they deal with transcendental matters alone. Thus, for Vedānta as well as for Māmāmsā, the term Veda is restricted not only to certain portions of the classical vedic literature but also to certain of their contents or subject matter. The Vedas, in this way, enjoy only a very circumscribed authority even for Māmāmsā and Vedānta, the only schools which seem to take it seriously.

The notion of "vedic" authority, then, is a myth. It certainly cannot be held to be the dividing line between the schools as has been stated by almost every text book on the subject. Yet, it may be contended that the issue of authority in Indian philosophy is far broader than the question of the authority of the Vedas. Even if it be conceded that the Vedas hold little authority for most schools of Indian philosophy, is it not true that something else fulfills that function? Do not the sūtras hold the same position and does not the time-honored way of writing philosophy in the form of

commentaries on the traditional texts prove this? And, is not Sabda or Testimony[*] regarded as an independent pramana, that is, both a criterion and a source of valid knowledge?

These two contentions seem so obviously convincing as to finally clinch the issue of authority in Indian philosophy. But, is it really so? Would not a closer look reveal something entirely different? Why should philosophers, of all people, be taken in by appearances without even critically examining them? After all, does not one of the so-called "orthodox" schools of Indian philosophy, that is, the Vaisesika, believe in Sabda or testimony as an independent source of valid knowledge? Why should these things be glossed over as if they were of no importance whatsoever? As for the authority of the Sūtras, one may legitimately ask what is the authority of the Nyāya-sūtras after Gangesa.

This, we should realize, is not just a rhetorical question asked to save a desperate situation. Rather, it should be seen as a plea for looking at the facts from a different vantage point. After Gangesa, Nyāya does not merely take a new turn which was recognized as such by his contemporaries and the thinkers who came after him, but enters on a path of *continuous development* which leads later to such giants as Visvanātha, Gadādhara and Raghuna-tha Siromani. Such a continuous development and its proliferation into other schools provides decisive evidence against the view which gives to the sūtras an *unquestionable authority* for the whole school itself. The authority, rather, goes on changing and as soon as some new important thinker appears on the scene, the mantle falls on him and he becomes the point of departure for further thought.

This, it should be remembered, is not the case for Nyāya alone. The situation is not very much different for Vedānta or Māmāmsā or Vaisesika or Sāmkhya. Yoga, as we have said earlier, is hardly a

school of philosophy and thus need not be considered in this connection. It may, for example, be reasonably asked what is the authority of the *Brahma-sūtras* after Samkara for Advaitic Vedāntins. The numerous Advaita thinkers after Samkara take their departure from him and not from the *Brahma-sūtras*. Is this not true for such outstanding post-Samkarite figures as Padmapāda, Suresvara, Prakāsātman, Citsukha, Prakāsananda, Vacaspati Misra and Madhusādan Saras watī? Even the famous *Brahma-siddhi* of Mandan Misra is an independent work and not a commentary on the *Brahma-sātras*. There is, in fact, hardly any significant Advaitic commentary directly on the *Brahma-sūtras* after Samkara. They were just not seriously taken into account and if, in the present century, Radhakrishnan has chosen to write a commentary once again, it is rather because of the desire to follow in the path of the great Achāryas[*] than because of any real belief in their overriding authority for his own philosophical thought.

It is, of course, true that Rāmānuja, Mādhva and Nimbārka wrote their independent commentaries on the *Brahma-sūtras* after Samkara. But they did this merely because they wanted to depart fundamentally from the Advaitic interpretation of the *Brahma-sūtras*. The great subsequent thinkers of these schools cared hardly at all for the *Brahma-sūtras*. There is no difference in this respect between the post-Samkarite thinkers of the Advaitic school and, say, the post-Rāmānuja, the post-Mādhva and the post-Nimbārka thinkers of these respective schools. Thus, even where a great thinker tries to buttress his new thought by an appeal to the traditional texts, his immediate successors take him as the point of departure and not the text from which he presumedly derived his thought.

The same may be said about Māmāmsā, the other great school which ostensibly argues a great deal in favor of the authority of the traditional texts. The sutras of Jaimini hold little interest or authority

after Prabhākara and Kumārila. It is they who are discus-sed, argued, assented to or differed with. Sāmkhya and Vaisesika have no great independent lines of outstanding thinkers around them. The first has hardly any original sātras which could even reasonably be construed as providing the authoritative text for the system. Iswarkrsna's Sāmkhya-Kārikā is the oldest known text of the system. But, as everybody recognizes, the system is far, far older than this and Iswarkrsna can hardly be said to enjoy any exceptional authority except as a clue to some of the main tenets which the thinkers belonging to this school generally held. As for Vaisesika, it is Prasastapāda who provides us with a real perspective on Vaisesika thought. Subsequent Vaisesika thinkers generally start from Prasastapāda's work. Sūtras themselves, it should be remembered, are *only* cogent summaries of previous thought. They are, thus, simultaneously the end of a line of thought and the point of departure for a fresh philosophical enterprise. It is only thus that they make sense and not as the final arbiters of what may legitimately be thought by a philosopher in India. The latter way of presenting them is usual, but it is so totally false that one wonders how it ever came to be propagated and accepted.

The Buddhists and the Jainas have no sacred *philosophical* texts, except the *Abhidharma*, which may be regarded as vested with the type of authority that the Vedas and the Sūtras are supposed to enjoy in the so-called "orthodox" tradition of Indian philosophizing. There are important thinkers and important books but nothing vested with a divine or superhuman authority. This is as it should be, and my contention is that it is the same with the so-called classical schools of Hindu philosophy.

III

The myth of spirituality and the myth of authority are not the only two myths about Indian philosophy. There is a third one which is even more subtle than the other two. This is the myth of the schools without which no book on Indian philosophy has yet been written. The myths of spirituality and authority are stated on the first pages and the conveniently forgotten. The schools however, are in a different category. They are the very stuff or rather the very structure out of which and around which the whole story of Indian philosophy has been woven. Indian philosophy is divided first into the "orthodox" and the "unorthodox" schools and then these are subdivided into Buddhism, Jainism and Cārvāka on the one hand, and into Nyāya, Vaisesika, Sāmkhya, Yoga, Māmāmsā and Vedānta on the other. This is the unvarying classification one reads about and the only attempt at a little exception is that of Karl H. Potter in his *Presuppositions of India's Philosophies*. But Potter has only tried to diversify the picture a little and not to question it in its very foundations as we are trying to do here.

The classification into schools is time-honored and accepted even by the classical thinkers themselves. Why, then, should we attempt to question it? But it is at least equally apparent that the veil of authority and the veil of spirituality were woven and accepted also by the classical thinkers. So, there is nothing distinctively different in this respect which may be said to apply to the problem of "schools" alone.

The concept of "school" is closely tied up to the concept of "authority" in Indian philosophy. If the authority of the Vedas or the *Upanisads* or the Sūtras is final, then what is presumed to be propounded in them as philosophy is final also. There thus arises the notion of a closed school of thought, final and finished once and for all. This may seem fantastic, but most presentations of the various schools of Indian philosophy are so non-historical in their nature that

they belie the title *History of Indian Philosophy* under which they are usually presented. History is always the story of change, development, differentiation, innovation. How can there be any real history if some primordial authority is posited at the very beginning of thought? If, therefore, we deny the "authoritative" character of Indian philosophy then, in an important sense, we deny the concept of "schools" also. There is no such thing as final, frozen positions which the term "school," in the context of Indian philosophy, usually connotes. If "schools" change, develop, differentiate, divide then they are never closed, finished or final with respect to what they are trying to say. There could, then, be no fixed body of Nyāya-Vaisesika, Sāmkhya, Mīmāmsā, Vedānta, Bauddha, Jaina or Cārvāka positions except in a minimal sense. These would, on the other hand, be rather styles of thought which are developed by successive streams of thinkers and not fully exemplified by any. Nor would these styles be treated as exhausted by any group or groups of thinkers belonging to any particular historical epoch.

The difference between a "school" and a "style" of thought is not merely a verbal one, as many may think. The question centers on the issue of how one is to conceive these so-called schools of Indian philosophy. Are they something like the various schools that one meets with in Western philosophy? Are they something of the same kind as, say, "rationalism," "empiricism," "realism," or "idealism"? If so, there is no problem, for while each of these has a recognizable identity of its own, it still has had and is capable of continuous development in new and varied directions. No single thinker or group of thinkers could ever exhaust what is signified by any of these schools of Western philosophy. The case of Indian philosophic schools would then be similar.

However, the traditional presentation of the schools of Indian philosophy is hardly ever along these lines. They are treated as

something finished and final. No distinction, therefore, is ever drawn between the thought of an individual thinker and the thought of a school. A school is, in an important sense, an abstraction. It is, so to say, a logical construction springing out of the writings of a number of thinkers who share a certain similarity of outlook in tackling similar problems. On the other hand, it is also some sort of an ideal governing the direction of thought as well as a Platonic idea, more or less exemplified in one thinker rather than another. In more modern terms, it may also be conceived as a morphological form which both governs the evolution of species and is intuited from a continuous and varied observation of them. These different ways of understanding the concept of "school" should be treated not as exclusive alternatives but rather as supplementary to each other.

Basically, this is the reality of the "schools" of Indian philosophy also. Yet it is never presented as such. Samkhya, for example, is too much identified with Iswarkrsna's work or Vedānta with the work of Samkara. But this is due to a confusion between the thought of an individual thinker and the style of thought which he exemplifies and to which he contributes in some manner. All that Samkara has written is not strictly Advaita Vedānta. Nor is all that Iswarkrsna has written Sāmkhya. Unless this is realized, writings on Indian philosophy will continuously do injustice either to the complexity of thought of individual thinkers concerned or to the uniqueness of the style of thought they are writing about. If such an injustice is to be avoided, then the history of Indian philosophy will either be the history of individual thinkers in relation to each other or the history of styles of thought as growing over a period of time. In this, then, it will be no different from a history of Western or any other philosophy which also can be and has been written in either of the two ways.

IV

Indian philosophy, then, is neither exclusively spiritual nor bound by unquestionable, infallible authority, nor constricted and congealed in the frozen molds of the so-called "schools" which are supposed to constitute the essence of Indian philosophy by every one who has written on the subject. These are just plain myths and unless they are seen and recognized to be such, any new fresh look at Indian philosophy would be impossible. The dead, mummified picture of Indian philosophy will come alive only when it is seen as a living stream of thinkers who have grappled with difficult problems that are, philosophically, as alive today as they were in the ancient past. Indian philosophy will become contemporarily relevant only when it is conceived as philosophy proper.[4] Otherwise, it will remain merely a subject of antiquarian interest and research which is what all the writers on Indian philosophy have made it out to be. It is time that this false picture be questioned and that the living concerns of ancient thought be made alive once more. The destruction of these three myths would represent a substantial step in this direction.[5]

* Footnotes preceded by an asterisk were graciously contributed by Mlle Rita Régnier.

[1] This article is dedicated to Dr. B. N. Consul and his staff without whose surgical help and skill it might never have been completed. Dr. Consul holds the Chair of Ophthalmology at the Medical College, University of Rajasthan, Jaipur India.

* In Indian philosophy one traditionally lists six systems or, better, "views" *(daršana): Mīmāmsā, Vedānta, Sāmkhya, Yoga, Vaisesika* and *Nyāya*. The followers or faithful can be designated respectively as *mīmāmsaka, vedāntin, sāmkhya, yogin, vaisesika* and *naivāyika*. The materialistic movement *cārvāka*, stands somewhat apart from the classical *daršana*. The bauddha (Buddhists) and the jaina (Jainas) embrace the doctrines proclaimed by the religious reformers Buddha and Jina.

* The Advaita Vedantins are followers of a special form of Vedānta which professes absolute monism (advaita). The *Yogācāras* ("those who practice *Yoga*") make up one school of Buddhism; the Mādhyamikas ("those who adopt 'half-way terms' or views") constitute still another.

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Volume 5:
Theory of Value

Edited by Roy W. Perrett

Indian Philosophy

A Collection of Readings

Series Editor

Roy W. Perrett
Massey University

Series Contents

Theory of Value

Edited with introductions by

Roy W. Perrett
Massey University

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Series Preface

No anthologist succeeds in including everyone's favorites, so a few words about the principles of selection seem appropriate. Firstly, as with other volumes in this Garland series, priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. Readers in search of further bibliographical assistance should consult what is now the standard source: Karl H. Potter, *Bibliography of Indian Philosophies*, 3rd rev. ed. (Delhi: Motilal Banarsidass, 1995), and the on-line updates to it available at the "Indian Philosophy Bibliography" (http://faculty.washington.edu/kpotter/). Secondly, the emphasis throughout is on *philosophical* studies of Indian philosophy. Consequently, much excellent historical and philological work has been omitted. Thirdly, the desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology. This restriction has prevented the inclusion of more work by Indian authors.

Finally, I would like to acknowledge gratefully all the good advice and generous assistance I have received from Chakravarthi Ram-Prasad, Mark Siderits, and (most especially) Stephen Phillips. The blame for any shortcomings that may remain rests, of course, solely upon my own shoulders.

Series Introduction

The five volumes of this series collect together some of the most significant modern contributions to the study of Indian philosophy. Indian philosophy is one of the great philosophical traditions of the world. Unfortunately, however, its philosophical riches are not always as readily accessible to Western philosophers as might be desired. The selections in these volumes help to redress this situation by giving readers easy access to some of the best philosophical work in the area, including material that is often difficult to locate.

Collectively the selections in these volumes explore many of the important commonalities and differences between the Indian and Western philosophical traditions. These similarities and differences are philosophically pregnant. There is enough in common between Indian and Western philosophy to suggest that the philosophers in both traditions are often engaged with similar problems and hence should be able to communicate with each other. However, there are also sufficient differences between the traditions to suggest that they may have some novel perspectives to offer each other.

In choosing the selections for this series priority has been given to journal articles, rather than book chapters. However, some essential book chapters have been included, and the introductions to each volume include references to significant books. The emphasis throughout is on *philosophical* studies of Indian philosophy. The desire to make Indian philosophy accessible to interested Western philosophers has meant not only that all the selections are in English, but also that most of them use a minimal amount of unglossed Sanskrit terminology.

Volume 1: Epistemology is concerned with the nature and scope of Indian *pramāṇa* theory, i.e. that part of Indian philosophy concerned with the nature and sources of knowledge. Indian philosophers developed a causal theory of knowledge and acknowledged the existence of a number of valid ways of knowing, including perception, inference and testimony. The

Indian *pramāṇa* theorists thus discussed many issues that have also occupied Western epistemologists, often offering importantly different perspectives on these matters. They also sometimes addressed various interesting questions about knowledge that are unfamiliar to Western epistemologists.

The selections in this volume discuss Indian treatments of epistemological topics like the means of knowledge, realism and anti-realism, truth, knowledge of knowledge, illusion and perceptual error, knowability, testimony, scepticism and doubt.

Volume 2: Logic and Philosophy of Language is concerned with those parts of Indian *pramāṇa* theory that Western philosophers would count as logic and philosophy of language. Indian philosophers and linguists were much concerned with philosophical issues to do with language, especially with theories of meaning, while the Indian logicians developed both a formalised canonical inference schema and a theory of fallacies. The logic of the standard Indian inferential model is deductive, but the premises are arrived at inductively. The later Navya-Nyāya logicians went on to develop too a powerful technical language, an intentional logic of cognitions, which became the language of all serious discourse in India.

The selections in this volume discuss Indian treatments of topics in logic and the philosophy of language like the nature of inference, negation, necessity, counterfactual reasoning, many-valued logics, theory of meaning, reference and existence, compositionality and contextualism, the sense-reference distinction, and the nature of the signification relation.

Volume 3: Metaphysics is concerned with the complement to *pramāṇa* theory, i.e. *prameya* theory. Whereas the *pramāṇas* are the means of knowledge, the *prameyas* are the knowables, cognisable entities that constitute the world. With respect to the number and kinds of such entities, there was a very wide variety of opinion among classical Indian philosophers — including variants of monism, dualism and pluralism about both entities and kinds. Many metaphysical topics were debated, but two of the most important were causation and the nature of the self. The competing theories offered about these two issues also raised other questions about the metaphysics of wholes and parts, substances and properties, and universals and particulars.

The selections in this volume discuss Indian treatments of topics in metaphysics like ontology, constructionalism, universals, negative facts, mereology, causation, relations, freedom and determinism, and theories of the self.

Volume 4: Philosophy of Religion is concerned with something that can be described as "Indian philosophy of religion," i.e. "philosophy of Indian religions." Contrary to popular Western belief, classical Indian philosophy was not indistinguishable from Indian religion — as even a cursory glance at the first three volumes of this series will demonstrate. Religious concerns, though, did motivate the work of many Indian philosophers. However, important differences between the major Western religions and the major Indian religions (Hinduism, Buddhism, Jainism) mean that the shape of Indian philosophy of religion is often significantly different from that of Western philosophy of religion.

The selections in this volume discuss Indian treatments of topics in the philosophy of religion like the problem of evil, God, theological monism and dualism, atheism, the concept of a perfect being, reason and revelation, rebirth and karma, religious language, religion and politics, ritual and *mantra*, and the religious determinants of metaphysics.

Volume 5: Theory of Value is concerned with Indian discussions in the areas of ethics, politics and aesthetics. The Indian philosophers had a good deal to say about the theory of value as they vigorously discussed topics like the ends of life and the relation of virtuous action to those ends. A traditional Hindu classification recognises four classes of values: *dharma* (morality, virtue), *artha* (wealth, power), *kāma* (pleasure), and *mokṣa* (liberation). *Mokṣa* is usually held to be the highest value and is extensively discussed in the paradigm Indian philosophical texts. Indian political and legal theory is concerned with the values of *artha* and *dharma*. Aesthetic pleasure is one of the subject matters of a developed body of writing on aesthetic theory. *Rasa* ("flavor"), the special feeling or enjoyment that pervades an artwork or is aroused in its contemplator, is commonly seen as detached from the aims and concerns of ordinary life, with some even suggesting that it provides a foretaste of the bliss of *mokṣa*.

The selections in this volume discuss Indian treatments of topics in the theory of value like the proper ends of life, the relation of *dharma*

and *mokṣa*, liberation and pleasure, the sources of our knowledge of right and wrong, the ethics of non-violence, the status of the supra-moral, egoism and altruism, the theory of *rasa*, aesthetic experience and catharsis.

Volume Introduction

While classical Indian philosophy is incredibly rich in rigorous discussions of topics in epistemology, logic and metaphysics, comparable discussions in the areas of ethics, politics and aesthetics were not as extensive as might have been expected. However, the Indian philosophers did have a good deal to say about the theory of value insofar as they vigorously discussed topics like the ends of life and the relation of virtuous action to those ends (Maitra 1956, Hiriyanna 1975, Crawford 1982, Perrett 1998).

A traditional Hindu classification recognizes four classes of values: the *puruṣārthas* or ends of human life (Gupta 1978, Sharma 1982). The most common traditional ordering of these is: *dharma, artha, kāma* and *mokṣa*. The first three are sometimes grouped together as the *trivarga* ("group of three"); the addition of *mokṣa* constructs the *caturvarga* ("group of four"). *Artha* is wealth and political power; *kāma* is sensual pleasure, particularly as associated with sexual and aesthetic experience; *dharma* is the system of obligations and prohibitions enshrined in the legal and religious texts.

As the *trivarga* these three values are arranged hierarchically with *artha* as the lowest and *dharma* as the highest. One argument for this arrangement appeals to the distinction between intrinsic and instrumental values. *Artha* is clearly an instrumental value, a means rather than an end, and hence inferior. However, this argument cannot serve to distinguish *kāma* and *dharma*, for pleasure is surely an intrinsic value and the Indians do not seek to deny this. While *artha* is valued ordinarily as a mere means to *kāma, kāma* is valued for itself. In order to elevate *dharma* over *kāma* other arguments are invoked. First, that *dharma* is a higher value because it is restricted to humans; other animals pursue wealth and pleasure, but only humans can consciously pursue morality. Second, that although all desire pleasure, pleasure is not always desirable. In distinguishing higher and lower pleasures, *dharma* is offered as the regulative principle: the type of pleasure that is truly valuable is that in accordance with the demands of

dharma. In this sense *dharma* as a regulative principle is a higher value than *kāma*.

The highest value is *mokṣa*, a state of complete liberation from the bondage of the cycle of rebirth (*saṃsāra*). Since all *saṃsāric* existence is held to be marked by universal suffering (*duḥkha*), *mokṣa* is the ultimate end of Hindu ethics. It can be characterized in both positive and negative terms. Thus some (like the Vedāntins) hold it to be a state of absolute bliss; others (like Sāṃkhya-Yoga and Nyāya-Vaiśeṣika) hold it merely to be the absence of all pain and suffering. But this difference may not as significant as it might first appear, for the philosophical psychology of the latter schools tends to regard pleasure as but the temporary and relative absence of pain. In any case, *mokṣa* as absolute bliss (or absence of suffering) is distinct from *kāma* in that it is both hedonically unmixed and permanent once achieved.

According to some schools the state of *mokṣa* is here and now attainable. That is, one can be liberated while still alive, a *jīvanmukta* (Fort and Mumme 1996). Others hold that the ideal can only be fully attained after physical death (*videhamukti*). But again the difference may not amount to as much as all that. For all parties agree that persons can in this life attain a state such that immediately upon the destruction of the physical body they will attain *mokṣa*, i.e. without any further actions being required of them.

Mokṣa and its relation to knowledge and action are extensively discussed in the *darśana* treatises that are the paradigm Indian philosophical texts (Ram-Prasad 2000). However, there are separate classes of Sanskrit treatises devoted to expositions of *dharma* (religious and moral laws), of *artha* (political and economic power), and of *kāma* (sexual and aesthetic pleasure).

The Hindu political philosophers acknowledged that *mokṣa* is the ultimate end of human activity, but they insisted that *artha* and *dharma* are legitimate worldly goals which, if properly pursued, lead to *mokṣa* (Brown 1953, Spellman 1964, Ghosal 1966, Prasad 1968). The most famous political treatise is the *Arthaśāstra* (fourth century BCE), which argues for the advantages of monarchy over other forms of government. The king's duty is to maintain the order and stability necessary for the people to promote their economic well-being and practise *dharma*. Such order is

upheld by proper use of *daṇḍa* ("the rod"), i.e. by the just use of force to punish breaches of the rules of *dharma*.

The rules of *dharma* are presented in the Dharmaśāstras, the best known of which is the *Manusmṛti* (Kane 1968–75, Lingat 1973). *Dharma* involves two distinct sets of duties. Firstly, there are universal duties (*sādhāraṇa-dharma*) incumbent on all, regardless of age or occupation. These include non-injury (*ahiṃsā*), truthfulness, patience, respect for others' property, etc. Secondly, and more important for determining one's particular personal responsibilities or *svadharma*, are the demands of social duty. Indeed, in the case of a conflict between the two sets of obligations, it is the particular rather than the universal duty that prevails.

The content of one's personal *dharma* is determined by caste and stage in life (*varṇāśrama-dharma*). The four social classes (*varṇa*) are: the *brāhmaṇa* or priestly caste; the *kṣatriya*, the ruler and warrior caste; the *vaiśya* or merchant caste; and the *śūdra* or laborers. Various duties accrue to members of these *varṇas*, appropriate to the function each class has in the operation of society as a whole.

But it is not just caste that determines a person's *dharma*. Also crucial is the person's stage in life (*āśrama*). The ideal Hindu life pattern (at least for male members of the three higher *varṇas*) is in four stages. First there is the period of student life (*brahmacarya*). Then there is the stage of the householder (*gārhasthya*). Having fulfilled these obligations, it is appropriate in later life to enter the stage of the anchorite (*vānaprastha*). Finally one may enter the renunciate stage (*saṃnyāsa*), abandoning all worldly concerns, focused entirely on the attainment of liberation (*mokṣa*). Ideally, then, a full life allows for each of the *puruṣārthas* to be realized in one's lifetime: the student studies *dharma*; the householder pursues *artha* and *kāma* (in accordance with *dharma*); the anchorite pursues *mokṣa*, but still upholds *dharma* through the performance of the daily sacrifices; and the *saṃnyāsin* is devoted entirely to *mokṣa*.

There are two sorts of texts that deal directly with the value of *kāma* or pleasure. Sexual pleasure is the subject matter of the well known *Kāmasūtra* and other texts in the same genre. Aesthetic pleasure is one of the subject matters of a developed body of writing on aesthetic theory (Gerow 1997, Chari 1990). The central concept of Indian aesthetics is *rasa*

("flavor"), the special feeling or enjoyment that pervades an artwork or is aroused in its contemplator. The theory of *rasa* was discussed by a number of writers, including Abhinavagupta (11th century). Aesthetic enjoyment is commonly seen as detached from the aims and concerns of ordinary life; it even, some suggest, provides a foretaste of the bliss of *mokṣa*.

The ethics of Buddhism and Jainism are a bit different since the Buddhists and the Jainas do not accept the *puruṣārtha* schema, nor the *varṇāśrama* system. Moreover, Buddhist and Jaina philosophers were not central to the development of Indian aesthetic theory. However, the heterodox systems of Buddhism and Jainism also affirm the pre-eminence of *mokṣa* (or *nirvāṇa*). In Indian Buddhist ethics we find a two-tiered system, with the monks committed to the pursuit of the supra-moral goal of *nirvāṇa* and the laity committed to the ordinary ideal of morality as expressed in the five precepts (though see Ray 1994). The laity revere and serve the monks and through these activities strive for a favourable rebirth so as to be better placed in the future to pursue *nirvāṇa* for themselves. In other words, as laypersons they seek to promote the supra-moral value of *nirvāṇa* through their support of the monks, but they do not seek to exemplify that value themselves. This is instead the goal of the monks, the specialists of the supra-moral. A similar pattern also exists in Jainism (Jaini 1979) where the ascetic community of mendicants whose practice is focused on the attainment of *mokṣa* is materially supported by a lay community committed to a much more restricted set of moral ideals expressed in the five "lesser vows" (*aṇuvrata*).

The selections in this volume begin with Hiriyanna's elegant presentation of the *puruṣārthas* schema as an Indian philosophy of values, built around the recognition of four classes of values (see also Hiriyanna 1975). This is immediately followed by Krishna's vigorously presented counter-perspective, according to which the oft-repeated traditional theory of the *puruṣārthas* inadequately represents both the diversity and complexity of human life and the richness of classical Indian socio-political thought (see also Krishna 1996).

The exchange between van Buitenen and Ingalls concerns divergent Indian conceptions of the relation between *dharma* and *mokṣa*: according to some Indian traditions, the values of *dharma* and *mokṣa* are in conflict; according to others, they are in harmony (see too Perrett 1998).

Potter's piece is also concerned with the relation between *dharma* and *mokṣa* and tries to provide a philosophical framework within which Indian philosophers can consistently say both that *dharma* is our duty (i.e. an end in itself) and that it is a means to *mokṣa*.

Prasad's paper attempts a conceptual analysis of the concept of *mokṣa* and its role *vis-à-vis* some other related Indian value-concepts. He argues that since *mokṣa* is described as a factual or ontological state, "*mokṣa*" is a descriptive term, not an evaluative or normative concept like virtue, duty, justice, etc. Thus an appeal to *mokṣa* cannot give any justification for morality.

Chakrabarti's article is concerned with whether *mokṣa* is pleasant and what significance this might have for motivating us to seek liberation. Some Indians hold that *mokṣa* is a state of positive joy and that the prospect of such joy should motivate the seeker; others hold that *mokṣa* is just the cessation of suffering and the seeker should not look for any positive happiness. Chakrabarti helpfully distinguishes the metaphysical question about liberation's hedonic tone from the ethical question about what should motivate the seeker of liberation and suggests a "Kantian" resolution of the dispute.

The papers by Ingalls and Prakash touch upon the wider normative framework that Indian value theory involves. The rich Indian traditions of legal and political theory are introduced by Ingalls, while some of the cosmic dimensions of the normative notion of *dharma* are presented in Prakash's discussion of Hindu philosophy of history.

Taber's article is concerned with Kumārila's views on the sources of our knowledge of right and wrong. Kumārila insisted on the absolute and exclusive authority of the authorless and eternal Vedas with respect to *dharma*; humans cannot know independently what is right or wrong. Taber argues for the contemporary interest of a ethical theory that can be extrapolated from Kumārila's writings, a theory that grounds ethics in a tradition that is so ancient as to seem eternal and anonymous.

An important value in classical India is *ahiṃsā* or non-injury. In modern times this term was given a special significance by Mahatma Gandhi, who developed it into a theory of non-violence (Bondurant 1965, Iyer 1973). Parekh's piece discusses Gandhi's theory and its relation to

classical Indian views, arguing that his theory is vitiated by its replication of a dilemma also present in traditional Hindu moral theory.

The next two articles by Kupperman and Perrett are concerned with Buddhist ethics (see also Tachibana 1975, Saddhatissa 1970, Keown 1992). Kupperman argues that religious ethical systems typically consist of more than a morality. They also characteristically demand a "supra-moral" control and modification of thoughts and desires, with the ethics of Buddhism being a good example of this. Perrett maintains that two familiar oppositions in Western ethical theory (between egoism and altruism, and between consequentialism and intentionalism) do not figure in Buddhist ethics because of the presence in Buddhism of certain distinctive metaphysical presuppositions.

The remaining selections are concerned with Indian aesthetic theory. The centerpiece of Indian aesthetics is the theory of *rasa*, discussed from a number of different angles in the pieces by Hiriyanna, Bhattacharyya and Chari (see also Deutsch 1975). All three authors are concerned not only to expound the theory, but to defend in various ways its relevance to contemporary aesthetics.

The most famous Indian aesthetician is the great metaphysician Abhinavagupta (Gnoli 1956, Masson and Patwardhan 1969 and 1970). Gerow's article on his thought presents an argument for the aesthetic grounding of Abhinavagupta's metaphysical theology, rather than the more usual reverse argument.

Chaudhury's paper discusses the Western concept of catharsis in the light of Indian aesthetics, suggesting that the theory of *rasa* can help us to understand better the therapeutic significance of catharsis.

The final two papers are more directly concerned with the aesthetic theory as it applies to specific Indian arts. Bake's piece on the aesthetics of Indian music explains the elements of Indian musical theory and its relation, through the theory of *rasa*, to drama and painting. Vatsyayan's wide-ranging lecture explores the underlying unity of the multiplicitous forms of Indian art through an examination of various metaphors that run through classical Indian philosophy, biology, mathematics, architecture, sculpture, painting, music, and dance.

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PHILOSOPHY OF VALUES

INDIAN thinkers commonly speak of two functions of knowledge—one which is theoretical, viz. revealing the existence of some object (*artha-paricchitti*), and the other which is practical, viz. affording help in the attainment of some purpose in life (*phala-prāpti*).[1] The results of these two functions of knowledge are respectively what we mean by 'fact' and 'value'. A thirsty traveller, who happens to come upon a sheet of fresh water, discovers a fact; and, when later he quenches his thirst by drinking the water, he realizes a value. These functions are regarded as closely connected with each other, since the knowledge of a fact usually leads to the pursuit of some value. The number of facts that may be known, it is clear, are innumerable; and the values that may be realized through their knowledge are equally so. It is with the latter that we are concerned here. The Sanskrit word used for 'value' means 'the object of desire' (*iṣṭa*), and the term may therefore be generally defined as 'that which is desired'. The opposite of value or 'disvalue' may be taken as 'that which is shunned or avoided' (*dviṣṭa*). For the sake of brevity, we shall speak only of values; but what is said of them will, with appropriate changes, apply to disvalues also.

FOUR CLASSES OF VALUES

One of the distinguishing features of Indian philosophy is that, as a consequence of the pragmatic view it takes of knowledge, it has, throughout its history, given the foremost place to values. Indeed, they form its central theme; and questions like those of 'being' and of 'knowing' come in only as a matter of course. It may, on this account, be described as essentially a philosophy of values. There are various problems connected with value. For instance, it may be asked whether we desire things because they are of value, or whether they are of value because we desire them. For want of space, we cannot consider such general questions here, however important and interesting they may be. We shall confine our attention to the values included in the well-known group of four, viz. *dharma* (virtue), *artha* (wealth), *kāma* (pleasure), and *mokṣa* (self-realization). We shall only observe, in passing, that values may be either instrumental or intrinsic. Thus in the example given above, water is an instrumental value; and the quenching of thirst by means of it is an intrinsic value. That is, though the term 'value' is primarily used for the ends that are sought, often the means to their attainment are also, by courtesy, called so.[2]

Though all the above four are ordinarily reckoned as values of life, a distinction is sometimes made within them, according to which only the first three are regarded so, excluding the last one of *mokṣa*. Early works like the *Rāmāyaṇa* and the *Mahābhārata*, for example, often refer to them alone. But it would be wrong to conclude therefrom that the fourth value of *mokṣa* was not known at the time,[3] for these epics and other early works themselves refer to it also. In fact, the ideal of *mokṣa* is at least as old as the Upaniṣads. The restriction of the name of 'value' to 'the aggregate of three' or the *tri-varga*, as this group is designated, probably only means that the writers of the works in question address themselves chiefly to the common people, for whom the final ideal of *mokṣa* is of little immediate interest. Whatever the reason for this inner distinction may be, it is a convenient one; and we shall adopt it in our treatment of the subject here.

INSTRUMENTAL AND PSYCHOLOGICAL VALUES—ARTHA AND KĀMA

To take up the *tri-varga* for consideration first: In this group of three, *artha* may be said to stand for economic value; *kāma*, for psychological value; and *dharma*, for moral value. To speak in the main, *artha* is an instrumental value, for it is helpful in satisfying one or other of the diverse needs of life. Their satisfaction is *kāma*, which is an intrinsic value, since it does not admit of the question 'why?' We may, for example, ask why we seek food; but we cannot similarly ask for what we seek the satisfaction arising from the partaking of it. We describe it as a 'psychological value', not in its. usual sense of subjective value in general, but in that of an end which satisfies the natural impulses of an individual as such. These two values of *artha* and *kāma* are sought not only by mart, but by all sentient creatures.[4] The only difference is that, while mail can seek them knowingly, the other creatures do so instinctively. In this distinction, we find the characteristic feature of *puruṣārthas* or 'human values', viz.. that they represent ends that are *consciously* pursued by man. When they ate sought otherwise by him, as they sometimes are, they may remain values but cease to be *puruṣārtha*. The possibility of his seeking them unconsciously is due to the fact that man combines in himself the character of an,animal and that of a self-conscious agent—that he is not merely a spiritual but also a natural being. The wants which are common to man and the lower animals and whose urge is natural, rather than spiritual, are self-preservation and the propagation of offspring, or, as it may otherwise be stated, race-preservation.

MORAL VALUE—DHARMA

The case is quite different as regards *dharma*, for its appeal is restricted to man. While it is virtually unknown to the lower animals, man may be said to be innately aware of it.[5] In this consists its uniqueness as compared with the other two values of *artha* and *kāma*, and we shall presently see in what respect it is superior to them. We have rendered it as 'moral value'; and some forms of Indian thought, like early Buddhism, will bear us out completely. But in others, especially the so-called orthodox systems, the connotation of the term is much wider, for they include under it not only moral but also religious values, such as are detailed in the ritualistic portions of the Vedas. But, in accordance with a principle recognized from very early times, viz. that ceremonial is of little avail to those who are morally impure,[6] the practice of virtue becomes a necessary condition of ritualistic life. We also find it stated in some ancient works of this tradition that, as between ritual and virtue, the latter is certainly to be preferred. The *Mahābhārata*, in a familiar verse, declares that 'speaking the truth is far better than celebrating many horse-sacrifices'.[7] Gautama, one of the oldest among the law-givers, places what he terms the 'virtues of the soul' (*ātma-guṇa*), like kindness and purity, above mere ceremonial.[8] These are the reasons why we have rendered the term as 'moral value', and we shall confine our attention in what follows solely to that aspect of *dharma*.

The notion of *dharma*, thus restricted, is so familiar that it is hardly necessary to refer to examples of virtues whose cultivation it signifies. Yet to give a general idea of them, we shall refer to one of the several lists of them found in old works. Yājñavalkya, in the Smṛti which goes by his name, reckons them as nine[9]—non-injury, sincerity, honesty, cleanliness, control of the senses, charity, self-restraint, love, and forbearance. It will be seen that some of these, like non-injury and charity, have a reference to the good of others or are altruistic, while others, like sincerity and self-restraint, serve to develop one's own character and will. It should not, however, be thought that this division into self-regarding and other-regarding virtues is a hard and fast one; for, as an individual has no life of his own independently of society, the former has a bearing on the latter, as surely as the latter has on the former.

RELATION OF DHARMA TO KĀMA

What is the relation of *dharma* to *artha* and *kāma*? Or, as *artha* is ordinarily but a means to *kāma*, we may narrow the scope of our question and ask, 'What is the relation of *dharma* to *kāma*?' If *kāma* stands for pleasure, as stated above, we may say that it is desired by all, for pleasure is always welcome to everyone. Indeed, we cannot help desiring our own felicity. But not everything desired is necessarily *desirable*. A sick person may long for a certain kind of food, but it may not at all be advisable for him to partake of it from the standpoint of his physical well-being. That is, *kāma*, while it may be an object of desire, may not always be desirable; and, though appearing to be a true value of life, it may not really be so or may even prove to be a disvalue. How then can we distinguish these two kinds of *kāma*? To speak with reference only to the *tri-varga* which we are now considering, *dharma* furnishes the necessary criterion. That variety of *kāma* is a true value, which is in accord with the requirements of *dharma*, but not any other. In thus helping us to discriminate between good and bad *kāma* or in rationalizing life, as we might put it, consists the superiority of *dharma*, which is thus reckoned as the highest of the three values. This conception of *dharma* as a regulative principle is so important in the philosophy of conduct that all the Śāstras and all the higher literature of India (the latter, though only impliedly) emphasize it. That is, for example, what Śrī Kṛṣṇa means when he says in the *Gītā, 'Dharmāviruddhaḥ … kāmo'smi'* (I am *kāma*, not at strife with *dharma*).[10]

DHARMA AS A MEANS AND AN END

Having considered the general nature of *dharma* and its relation to *kāma*, and therefore also to *artha*, which commonly is but a means to it, we may ask whether its function is limited to regulating the pursuit of these two values or whether it has any purpose of its own. There are two answers to be given to this question.

(1) The popular view, and probably also the older of the two, is that it has a purpose of its own. In this view, then, *dharma* is conceived as an instrumental value. A steadfast pursuit of it, in its double aspect of self-regarding and other-regarding virtues, results in one's good here as well as elsewhere; and this good—whether it stands for worldly happiness or heavenly bliss—is, as a whole, designated *abhyudaya* or 'prosperity'. Further, it is believed that *dharma* not only leads to the good, but that it does so invariably. Here is another reason for its superiority over the other two values, whose pursuit may or may not be successful. But it should be added that, for the attainment of the fruit of *dharma*, one may have to wait for long. The important point, however, is that it is sure to yield its fruit at some time, even though it be after many vicissitudes. It is the possible postponement of the result to an indefinite future that explains the common indifference of men towards *dharma*, notwithstanding their awareness of its excellence. It is this human shortsightedness that Vyāsa, for example, has in his mind when, in concluding the *Mahābhārata*, he says, 'Here I am, crying out with uplifted arms that *dharma* brings with it both *artha* and *kāma*; but no one listens to me'.[11] The same feeling of sad astonishment at human folly is echoed in a common saying that 'people want the fruits of *dharma*, but not dharma itself'.[12]

(2) The other view is that *dharma* is an intrinsic value, and therefore an end in and for itself. It is maintained by some Mīmāmsakas, viz. those of the Prābhākara school. They ridicule the idea that virtue should appeal to man's interest for being practised. That would be to look upon man as a creature of inclination and forget that he is a moral agent, who has the power to do what he ought and to abstain from doing what he ought not.[13] Further, they allege that such a view makes *dharma* not only a means, but also a means to the admittedly inferior value of *kāma*, by making it minister

to the doer's felicity. However unexceptionable the *kāma* pursued may be in its nature, and whatever altruistic activity it may incidentally involve, it finally stands for a subjective end or, in plainer terms, for self-love. If there is a moral principle, it must be absolute in the sense that it has nothing to do with our likes and dislikes and that it should be followed solely out of respect for it. It is the nature of *dharma*, they say, to be thus ultimate. Here we have the well-known principle of practising virtue *for its own sake*; and the student of Western philosophy will see in it a general kinship with Kant's teaching of the 'categorical imperative', that is, a command about which there is nothing contingent or conditional.

This will, no doubt, appear at first as a very exalted view of *dharma* or 'duty', if we may use that term instead, worthy to evoke our admiration. But it is really untenable, because it is based upon unsound psychology. It assumes that voluntary activity is possible without any end in view or, to put the same in another way, that it forms its own end (*svayaṁprayojanabhū ta*).[14] But how can anything be its own consequence? To accept such a view, as Śaṅkara observes, changes what is put forward as a gospel of duty into a 'gospel of drudgery'.[15] For, in that case, devotion to duty would mean present toil; and dereliction of it, future evil, so that whether a person does his duty or leaves it undone, he has only trouble as his lot in life. Hence this view of *dharma* has not come to prevail. It was once for all given up in India when Maṇ ḍana, a contemporary of Śaṅkara, enunciated the principle that 'nothing prompts a man to acts of will, but what is a means to some desired end'.[16]

DHARMA SUBSERVES MOKṢA

So much about the *tri-varga*. When we shift our standpoint from the system of the three values to that of the four (*catur-varga*) including *mokṣa*, we find the conception of *dharma* undergoing a profound change, which makes it superior to that in either of the above views. It continues here to be regarded as an instrumental value, as in the first of them, but the end which it is taken to serve is not the agent's 'prosperity'. It is rather the purification of one's character or, as the term used for it in Sanskrit means, 'the cleansing of one's mind' (*sattva-śuddhi*) by purging it of all lower or selfish impulses. This cleansing is effected through the performance of the duties for which *dharma* stands in the manner taught in the *Gītā*, that is, without any thought whatsoever of their fruit. Thus, if the former view commends partial abnegation of *kāma* and thereby rationalizes life's activities, as we have said, the present one commends its total abnegation and thus spiritualizes them. Its true character of a higher value is restored to *dharma* here, for, in contrast with the other view, it wholly ceases to be subservient to *kāma*. The weakness of that view, then, is not in its conception of *dharma* as a means to an end, but only in its insistence that the end is some form of happiness for the doer. In this rejection of 'prosperity' or personal benefit as the aim, the present view resembles that of the Prābhākara school; but, at the same time, it differs vitally from that view in holding that *dharma* has an end, and thus denying that there can be any voluntary activity without an appropriate motive. It is this changed conception of *dharma* that has come to prevail in Indian philosophy, and not either of the above.

AIDS TO MOKṢA—MORALITY AND KNOWLEDGE

But it may be said that moral purification or the conquest of the lower self is too negative in its nature to prompt voluntary activity. So it is necessary to add that actually, in this view, self-conquest is only the immediate end of *dharma*, while its final aim is *mokṣa* or self-realization.[17] This is the ultimate value; and its conception is quite positive, since it consists not merely in subjugating the lower self, but also in growing into the higher one; it implies also the transcending of the narrow, grooved life and the gaining of a larger, ampler life. This change in the older view of *dharma* or its transvaluation, viz. that it is a means to *mokṣa*, is already made in the Upanisads.[18] But it is not the only means and requires, as indicated by our characterization of the final goal, to be supported by a knowledge of what the higher or true self is. And it cannot be known fully and well, unless it is known in its relation to the rest of reality. This knowledge of the self in relation to its environment, social and physical, represents philosophic truth. Like the good, then, the true also is here conceived as an instrumental value, both alike being means to *mokṣa*.[19] The several systems differ in the place they assign to these two means in the scheme of life's discipline. But it will suffice for our purpose to say, following Śaṅkara, that a successful pursuit of the good is required as a condition indispensable for the pursuit of the true.

We have seen that seeking the good is essentially for the purification of character. The search after the true is for removing our ignorance (*avidyā*) about the ultimate reality, which is the necessary, implication of all our efforts to philosophize. But for such ignorance, man's desire to know the nature of reality, which is so natural to him, would be wholly unintelligible. This desire, so far as it is theoretical, is satisfied when we learn the .final truth and are intellectually convinced of it. But intellectual conviction is not all that is needed for reaching the goal, since the actual effects of the ignorance are directly experienced by us in daily life and require, if they are to be removed, an equally direct experience of the truth about reality. For example, most of us feel the empirical self to be the true Self, while the fact, according to many of the systems, is that it is not so. But a mere

intellectual conviction, which is what is commonly meant by philosophic truth, is scarcely of use in dismissing such beliefs. A perceptual illusion, for instance, is dispelled only by a perceptual experience of the fact underlying the illusion and not, say, by a hearsay knowledge of it. Seeing, as they say, is believing. Hence all the Indian schools prescribe a proper course of practical discipline to bring about this consummation, viz. transforming a mere intellectual conviction into direct experience. The chief element in it is *dhyāna* or *yoga* which means learning to steady the mind and, thereafter, constantly dwelling upon the truth, of which one has been intellectually convinced, until it culminates in direct experience. It is then that the aspirant realizes himself and becomes spiritually free.

NATURE OF MOKṢA

What is the exact nature of this ultimate ideal called *mokṣa*? It is held by some to be a state of absolute bliss; and by others, as one merely of absence of all pain and suffering. The distinction depends upon a difference in the conception of the self in the various systems. Bliss or joy is intrinsic to it, according to some, and it therefore naturally reveals itself when the self is released from bondage. According to others, neither bliss nor its opposite belongs to the self, and it is therefore without either in the condition of *mokṣa* when its true nature is restored to it. Before describing this condition further, it is necessary to refer briefly to an objection that is sure to occur to the reader at the above characterization of *mokṣa* in terms of pleasure and absence of pain, viz. that the ideal is hedonistic—a view which is now regarded as psychologically quite faulty. This is an objection which, on a superficial view, applies to the whole of the Indian theory of value ; but whatever the answer to that general objection may be, the charge of hedonism does not, in the least, affect the conception of the ultimate value with which we are now concerned. For the pleasure for which it stands should be unmixed, and there should be no lapse from it when it is once attained—conditions which the kind of pleasure the hedonist has in view does not, and is not meant to, satisfy. In fact, *mokṣa* means absolute or unconditioned bliss (or, alternatively, absence of suffering), which is vastly different from the pleasure that hedonism holds to be the supreme end of life.

Now to revert to the consideration of the nature of *mokṣa*. Śaṅkara has remarked that attaining the goal of life signifies nothing more than perfecting the means to it.[20] That is to say, the end here is not external to the means, but is only the means stabilized. This gives us a clue as regards the kind of life which a knower leads, and enables us thereby to grasp the exact meaning of *mokṣa*. We have mentioned two aids to the attainment of the goal, pursuing the good and acquiring a knowledge of the true self. Corresponding to these, the life of the knower, broadly speaking, will be characterized by two features. In the first place, it will be entirely free from the tyranny of the egoistic self, and therefore also free from the feverish activity for gratifying personal desires, which can never be completely gratified. In the second place, it will be marked by an unshakable conviction

in the unity of all, and consequently by love for others—love for them, not as equals but as essentially one with oneself. Such love will necessarily prompt the freed man to work for their good, for while there is nothing that he wants for himself, he sees them immersed in so much ignorance and suffering. No doubt, he was doing unselfish work even before he became free ; but that was, more or less, the result of conscious strife. Now it becomes quite spontaneous. This is in monistic schools. In pluralistic systems also, the same will be the case, the only difference being that the enlightened person will help others, prompted by pity or compassion rather than love in the above sense. Thus, whether it be in monistic or pluralistic schools, the knower, after gaining enlightenment and freedom for himself, will strive to spread that enlightenment among others and secure for them the same freedom, so far as it lies in his power. There is in this regard the magnanimous example of Buddha who, we may remark by the way, is only one instance among several that have appeared in the spiritual history of India. Hence, though the final aim of life or the ultimate value is here stated to be self-realization, it is really very much more, for it also signifies doing one's utmost to secure universal good.

We have described the state of *mokṣa* from the standpoint of what is called *jīvanmukti* or liberation while one is still alive', for it is sure to make a better appeal to the modern mind. This ideal, however, is not accepted in all the systems, but only in some like the Advaita, Sāmkhya-Yoga, and Buddhism. The others insist that spiritual freedom will not actually be attained until after physical death. It is known as *videhamukti*. But even these systems may be said to admit *jīvanmukti* in fact, though not in name, for they postulate final release in the case of an enlightened person as soon as he leaves his physical body, implying thereby that there is nothing more to be done by him for attaining *mokṣa*. The distinction between the two views reduces itself finally to whether or not the discipline prescribed for the spiritual aspirant should as such (that is, under a sense of constraint) continue in the interval between the dawn of true knowledge and the moment of physical death. According to those who do not accept the ideal of *jīvanmukti*, it should continue, while according to the rest, it need not.

INDIAN OPTIMISM

The question that now remains to ask is whether such an ideal can be achieved at all. In one sense, the question is not legitimate, because *mokṣa*, standing as it does for a progressive attainment, is being realized at every stage. But it may be taken to mean whether the process of self-realization is an endless one or has a culminating stage ; and if it has such a stage, whether it is attainable. All the Indian systems, including the non-Vedic ones, are of opinion that this process is directed to a definite goal, and that that goal can assuredly be achieved. According to them, the evil of *samsāra* or bondage carries with it the seeds of its own destruction, and it is sooner or later bound to be superseded by the good. In other words, none of the Indian schools is finally pessimistic, and the present-day criticism that they are 'gospels of woe' is entirely wrong. We have more than one interesting, indication in the Sanskrit language of this faith of the Indian in the ultimate goodness and rationality of the world. The Sanskrit word *sat*, as noticed by Max Müller long ago, means not only 'the real' but also 'the good'. Similarly, the word *bhavya*, we may add, means not only 'what will happen in the future' but also 'what is auspicious', implying that the best is yet to be.

Besides the ultimate value of self-realization, we have referred to truth and goodness. But the latter are only two of the three, including beauty, which are now grouped together and are termed the 'trinity of values'. Aesthetic value, however, is not being treated in the present paper.

[1] See Vātsyāyana's commentary on *Nyāya-Sūtra*. I.I.I,3.

[2] See *Vedānta-paribhā ṣā*, VIII.

[3] Possibly it was not once acknowledged by some like the early Mīmā ṁsakas or YājDZikas.

[4] Robert Burns, in one of his well-known poems, speaks of finding ears of corn hoarded in the 'nest' of a mouse when it was turned, by a plough.

[5] *Bṛ. U.*, I.4.14.

[6] '*Ācārahīnaṁ na punanti vedāḥ*';—Vasiṣṭha's *Dharma-Sūtra*, VI.3.

[7] ' *Aśvamedhasahasrāt tu satyam ekaṁ viśiṣyate.*'

[8] *Gautama Dharma-Sūtra* (Anandashrama Ed.), I.8.24,25.

[9] '*Ahiṁsā satyam asteyaṁ śaucam indriyanigrahaḥ, dānaṁ damo dayā kṣ āntiḥ sarveṣāṁ dharmasādhanam*' (I.122).

[10] *B.G.*, VII.11.

[11] *Mbh.*, XVIII.5.62.

[12] '*Punyasya phalam icchanti punyaṁ necchanti mānavāh.*'

[13] The Prābhākaras might admit the distinction, made above, between good and bad *kāma*. But they would not attach any moral value to the former, for, while it may connote prudence, it is not altogether free from bondage to inclination. III—82

[14] *Tantra-rahasya* (Gaekwad Oriental Series), p. 70.

[15] See commentary on B.G., III.1; IV. 18.

[16] '*Puṁsāṁ neṣṭtābhyupāyatvāt kriyāsu anyaḥ pravartakaḥ*'— *Vidhiviveka*, p. 243.

[17] The ultimate goal is God-realization in theistic doctrines; but it, too, is to be achieved, generally speaking, through self-realization.

[18] *Bṛ U.* IV.4.22.

[19] This does not mean that the good and the true should not be pursued for their own sake. What is meant is only that they find their fulfilment in self-realization.

[20] See commentary on B.G., 11.55—'*Sarvatraiva hi adhyātmaśāstre … yāni yatnasādhyāni sādhanāni lakṣaṅāni ca bhavanti tāni*'. Cf. commentary on XIV.25.

The myth of the puruṣārthas

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Any discussion of traditional Indian thought about man and society usually revolves around the notions designated by such terms as *varṇa, āśrama* and *puruṣārtha*. It is also generally assumed that the three are so intimately related to each other that each cannot be understood without the other. But even amongst these, the notion of *purusārtha* is perhaps more fundamental as it defines those ultimate goals of human life which give meaning and significance to it. The usual four-fold classification of the *puruṣārthas*, it is claimed, encompasses within *it* all the actual or possible goals that mankind may pursue for itself. Yet, is this true, and do the terms designate in any clear manner the goals men pursue or ought to pursue?

The usual designation of the *puruṣārthas* is given as *dharma, artha, kāma* and *mokṣa*, There is, of course, the dispute as to whether originally there were only the first three *puruṣārthas* and that the fourth, i.e. *mokṣa*, was added later on to them. But even if this is admitted, and there seems overwhelming evidence to support the contention, there still remains the question as to what is meant by these terms; and whether, if the Indian tradition is to be believed, they comprehend meaningfully all the goals that men pursue or ought to pursue in their lives.

If we forget *dharma*, which is regarded as the distinctive feature of human beings distinguishing them from animals, and concentrate only on *artha* and *kāma* for the present, we would discover that it is not very clear as to what is exactly meant by them. *Kāma*, in the widest sense, may be understood as desire and~ by implication, anything that is or can be the object of desire. But then everything will come under the category of *kāma*, since obviously one can and does desire not only *artha* but even *dharma* and *mokṣa*, Such a use of the word *kāma* is not so unwarranted as may seem at first sight. There is the well-known saying in Sanskrit:

nāhaṁ kāmaye rājyaṁ, na svargam na ca punarbhavam/

prāṇināṁ duḥkhataptānām kāmaye duhkhanāśanam//

Here *punarbhavam*, that is, *mokṣa*, is expressly mentioned while *dharma* may be supposed to be indirectly implied in the last line. In order to avoid the difficulty, one may restrict the notion of *kāma* to certain forms of desiring or to certain objects of desire or both. Thus, it may be said that the term *kāma* refers only to those desires whose objects are sensuous in nature or where desiring is done in such a way that it necessarily leads to bondage. But this would not only raise the question as to what is meant by bondage, but also whether *svarga* which is supposed to be the object *par excellence* of Vedic sacrifices is sensuous or non-sensuous in character. The Vedic injunction in this regard is unambiguous in its formulation. It clearly states '*svargakāmo yajeta*' that is, 'one who desires heaven should perform (the required) sacrifices.' Thus, it is clear that *svarga* is the object of *kāma* for the Vedic seers. Also, as the whole rationale of Vedic authority is supposed to rest on the distinction between *dṛṣṭa* and *adṛṣṭa phala, svarga* cannot but be treated as *adṛṣṭa* and heaven as non-sensuous in character, that is, as non-apprehensible by the senses. But if so, the restriction on *kāma*, as referring only to those desires whose objects are sensuous in character, would become invalid.

The Vedas, of course, also contain injunctions which promise *dṛṣṭa phala* only, and, as far as I know, none has seriously argued that these parts should be treated as non-authoritative; on this ground or as having only lesser or secondary authority. There are, for example, sacrifices prescribed for those who desire to have a son or rainfall or other such worldly things, and the injunction for these has the same form as the injunction for those who desire *svarga*. The text says, for example: '*putrakāmaḥ putreṣṭyā yajeta, vṛṣṭikāmaḥ kārīryyā yajeta*.' There is, thus, no essential difference between '*svargakāmaī*' and '*putrakāmaḥ*' or '*vṛṣṭikāmaḥ*', even though the latter are the sort of objects which are known to everybody while the former is accepted only on the authority of the Vedas. In fact, the Vedas are charged with containing false injunctions on the ground that these worldly objects of human desire are many a time not obtained in actual practice by the performance of the prescribed *yajñas*. *Nyāya-Sūtra* 2.1.58, in fact, raises it as an objection on behalf of the *pūrva-pakṣa*, and tries to reply to it in 2.1.59 by saying that the failure to get the desired result may be due to

possible defects in the procedure adopted or the material used or the attitude of the sacrificer itself or all of these together. The strategy adopted by the author of the *Nyāya-Sūtras*, if accepted, would make it impossible in principle to give a counterexample to any causal claim advanced by anybody. This is, of course, not the occasion to discuss the *Nyāya-Sūtras* but only to point out the fact that the so-called Vedic authority in that period was supposed to extend as much to the secular desires of man as to those which dealt with matters pertaining to life after death. Later, if Samkara's evidence is to be believed, there would be an attempt to disentangle the two, and the Vedic authority confined only to matters which were regarded as strictly non-empirical in character. But if such a distinction were to be seriously insisted upon, a large part of the Vedas would have to be treated as redundant. Not only this, as what they promise in the empirical domain is also attainable through other means which have little to do with sacrifices, their importance for these purposes would only be marginal in character.

But whether *svarga* is treated as transcendentally sensuous or non-sensuous in character, there will remain the problem of characterizing non-sensuous, non-transcendental objects of desire. How shall we characterize, for example, desire for knowledge or understanding? Shall we treat it as a *puruṣārtha* under the category of *kāmet* or not? In the Sāṁkhyan framework, as everything, including *manas* and *buddhi*, is a part of Prakṛti, there should be little difficulty in treating knowledge or understanding as coming under the category of *kāma* as *puruṣārtha*. But what about those who do not accept the Sāṁkhyan position? The Naiyāyikas, for example, treat *manas* as a distinct entity which is required to be postulated because of the fact that one does not have two perceptions at the same time, even though diffirent senses are in contact with the same object at the same time. *Nyāya-Sūtra* 1.1.16 gives this as the reason for postulating *manas*. On the other hand, no specific reason has been given for postulating *buddhi* as a *separate, independent prameya* in 1.1.15. It only says that the terms *buddhi*, *upalabdhi* and *jñāna* are synonyms for each other. It would perhaps have been better if *buddhi* had been postulated to account for non-perceptual knowledge. Also, it is not clear what the role of *manas* is in non-perceptual knowledge or, for that matter, in the context of *karmendriyas* which, perhaps, may be regarded as relatively more important as far as the *puruṣārthas* are concerned. Of course, the ātman itself is supposed to be postulated as that which is required to account for *jñāna* besides *icchā*,

dveṣa, prayatna, sukha and *duḥkha*, according to *Nyāya-Sūtra* 1.1.10. But then, what is the necessity of postulating *buddhi* as a separate *prameya* if ātman is already postulated to understand *jñāna*?

Our task, obviously, is not to go into the details of Nyāya here or to discuss its conceptual structure. What we want to point out is merely the fact that once we grant relative autonomy to the realm of the mind or intellect, then the desires pertaining thereto cannot be treated under *kāma* without transforming the nature of *kāma* itself. But once the term *kāma* is stretched to cover all ends of human seeking, there would remain no distinction between it and the other *puruṣārthas*. The difference between them could perhaps, then, be drawn on other grounds. *Artha*, for example, could mean instrumentalities for the satisfaction of what is desired, or even generalized instrumentalities such as power or wealth which could be used for the satisfaction of any and every desire. *Dharma* could mean the desire for social and political order without which no desire could be fulfilled. Or, alternatively, it could mean any ordering principle which would obviate or adjudicate the conflict between desires, whether of one and the same individual or of different individuals. *Mokṣa* could mean either the desire for freedom in all its senses, or the desire to be free of all desires—a second-order desire which itself may take other forms also.

Perhaps, the idea of *niṣkāma karma* is such a second-order desire with respect to all first-order desires. It tries to suggest how desires 'ought' to be desired. But this 'ought', it should be noted, is essentially a conditional 'ought' as it is formulated in the context of the desire to be free from the consequences of one's actions. If one is prepared to accept the consequences of one's actions, the injunction to do *niskāma karma* will make no sense, It may be argued that consequences inevitably bind one, and that as none desires bondage the imperative for *niskāma karma* is essentially unconditional. However, it is not clear why all forms of bondage be treated as intrinsically undesirable or why consequences should inevitably bind one —a point recognized in *bhakii* literature where there *is* nothing wrong in being a servant of the Lord or even in being born again and again, if it is to be in his service or do his work or sing his praises.

Further, if *kāma* means desire, then *niskāma* should mean desirelessness, or a state where desire is absent. But not all desire necessarily leads to action, and if it is the action performed from desire, that is, *sakāma karma*

which leads to bondage, then there is no reason to believe that desire or *kāma* by itself would lead to bondage. If desire be translated as *icchā*, then *karma* requires not merely *icchā* but also *prayatna* and *śarlra* with its *karmendriyas*. On the other hand, if *icchā* by itself is supposed to give rise to bondage, then *karma* would become redundant in the situation unless it is argued that *karma* produces bondage of a different kind or in addition to what has already been produced by *icchā* or *kāma* or desire.

This is not the place or the occasion to discuss the whole notion of *niskāma karma* or the relation of *karma* to bondage or liberation. What we are interested in here is to understand the traditional notion of the *puruṣārthas*, and it is interesting to note in this connection that *karma* does not occur as a *puruṣārtha* at all. Perhaps, it is assumed as a generalized means of attaining all *puruṣārthas*. But, then, *karma* would become necessary for attaining not only *kāma, artha and dharma* but also *mokṣa*. This would be unacceptable to at least one major school of Indian philosophy, i.e. Advaita Vedānta, as, according to it, *karma* is inevitably a sign of one's being in *avidyā* and hence in bondage. The *Gītā*, which emphasizes the inescapability of *karma* for all embodied beings, does not seem concerned with the ends which are sought to be achieved through action, but rather with the psychic attitude with which the action is undertaken as it is that which, according to it, is the cause of bondage and not action *per se*. But, then, *kāma* would denote not the end for which the action is undertaken but the attitude with which it is done. The attitude, however, in such a case, cannot be treated as one of the *puruṣārthas* as it is not only not an end of human action but also is naturally present in all human beings, and hence need not be striven for by any special effort on their part.

There is, of course, the problem as to how the word *puruṣārtha* itself is to be understood. Is it to be taken, for example, in a descriptive sense, that. is, as describing what men actually pursue in their life? Or, is it a prescriptive word which suggests what men ought to pursue in order to be worthy of being human? *Artha* and *kāma* as examples of *puruṣārthas* tend to suggest the former, while *dharma* and *mokṣa* lead to the latter interpretation. There does not seem much sense in saying one ought to pursue *artha* or *kāmet*, as one naturally pursues them and needs no great exhortation to do so. And if one does not pursue them with great zeal or intensity, one is normally

praised and not admonished for not pursuing them, particularly if one is pursuing some other ideal value, say, knowledge or social reform or political freedom or the end of exploitation and repression, or even much a thing as the creation of beautiful objects. I have used these examples consciously as it is difficult to subsume them in any straightforward manner under the categories of *dharma* or *mokṣa*, which are the only other *puruṣārthas* per mitted to us by the traditional classification. Perhaps, the best way might be to construe it as being both descriptive and prescriptive, thus reflecting the human condition itself wherein the determination by norms and ideals, and the striving towards them is inbuilt into the condition itself. The Upani-sadie terms *preyas* and *śreyas* describe well this amalgamation, though they do so by opposing them to each other, treating them as dichotomous opposites rather than as necessary components of the human situation.

However, to bring a prescriptive element into *kāma* and *artha* would not be to bring them under *dharma* or make them subservient to *mokṣa* as, say, in *tantra* as has usually been understood but rather to say that each human being has to pursue them for the utmost flowering and fulfilment of his being, and if he does not do so because of any reason, it is a deficiency that ought to be rectified as soon as possible. This, however, does not only run counter to the dominant thrust of Indian thought in the field, but also runs against the difficulty that it is not clear what sort of ends are meant by the terms *kāma* and *artha* in the theory of the *puruṣārthas*, which is supposed to be India's profoundest contribution to thinking about the ends of human life.

Perhaps, the term *purusārtha* should be construed on the analogy of *padārtha* which plays such a crucial role in classical Indian thought about the nature of reality. But the so-called *padārthas*, which have been dealt with most thoroughly in the Vaiśeṡika system of thought, themselves suffer from a basic ambiguity. It is not clear from the way things are stated in the *Vaiśe-ṡika-Sūtras*, or in the commentaries thereon, whether the enumerated *padārthas* are categories of language or thought or being. The term *pada* in *padārtha* would tend to incline one to the first alternative, but, as there is some talk of some of them being *buddhyāpekṣa*, one is inclined to the second alternative, at least as far as they are concerned. The third alternative is suggested by the way the first three *padārthas*, that is, *dravya*,

guṇa and *karma* are treated in the text. The situation becomes further confused if we take *Vaiśeṣika-sūtra* 8.2.3 into account which restricts *artha* to the first three *padārthas* only. But then what happens to the last three *padārthas*, that is, *sāmānya, viśeṣa* and *samavāyal* Are they *padārthas* or not? The usual way out is to treat them as *padārthas* in a *gauṇa* or secondary sense. But this would be to interpret *artha* in the sense of meaning, as it is only meaning which can be primary or secondary. But, then, *puruṣārtha* would mean that which gives meaning or significance to human life. However, in that case, *dharma* and *mokṣa* would lose that. preeminence which normally is attributed to them.

There is another problem with the term *artha* as it occurs in the word *puruṣārtha*. *Artha* itself is a distinctive *puruṣārtha*, and hence could not mean the same as in the compound *puruṣārtha*. Normally, *artha* as a *puruṣārtha* is taken to mean wealth or power or those generalized instrumentalities by which what is desired can be attained. But, in this sense, *dharma* itself would become a part of *artha* as it can be legitimately argued that without the maintenance of *dharma*, or what may be called the normative order, most people will not be able to fulfil their desire with any reasonable expectancy of success. The maintenance of social or political order would then, be only a means for the satisfaction of *kāma* which would be the primary *puruṣārtha* of life. Further, as the distinction between means and ends is always relative and changing with the way one perceives and orders what one seeks, the distinction between *artha* and *kāma* itself would become relative in character. As for *mokṣa, it* is usually supposed to transcend both *dharma* and *kāma* and thus occupies an anomalous position amongst the *puruṣārthas*, for it is never clear whether this transcendence should be understood as a negation or fulfilment of the other *puruṣārthas*. The Indian thought on this subject has never been able to make up its mind on either side with the result that confusion has prevailed at the very heart of Indian theorization about the ultimate goal or goals whose seeking renders human existence meaningful. *Mokṣa*, however conceived, is a desire for release from desire itself, and hence negates the *artha* in the *puruṣārtha* in a radical manner. To use a metaphor from a different context of the use of *artha*, what is being asked for is a language in which there is no reference, except self-reference. Even this residuum is denied in Advaita Vedānta, which argues for the untenability of the very notion of *puruṣārtha*

itself. The theory, which argues for the *nitya-siddha* nature *of mokṣa* against the one which treats it as *sādhan-siddha*, attests to this.

The essential ambivalence with respect to the relation between *mokṣa* and the other *puruṣārthas* is nowhere more evident than in the discussions on its relation to *dharma*, which is the most clear prescriptive or normative end in this theory of the four *puruṣārthas* in Indian thought. Is *dharma* necessary for attaining *mokṣa!* The usual answer is that it helps one in getting *svarga* but not *mokṣa*. *Dharma* as well as *adharma* are the causes of bondage and rebirth. For liberation, one has to go beyond both, that is, not only beyond *adharma* but *dharma* also. That is why the author of the *Gīta* has treated the Vedas as the realm of the three *guṇas*, that is, *sattva*, *rajas* and *tamas*, whose heart is *kāma* and whose injunctions, if followed, lead to *bhoga* and *aiśvarya*. *mokṣa*, on the other hand, is beyond the three *guṇas*[1] and hence beyond the world which is constituted by them. But, then, it cannot exactly be called a *puruṣārtha* or, at least, a *puruṣārtha* in the same sense in which the other three are called *puruṣārthas*. Normally, only that should be designated as a *puruṣārtha* which can be realized, at least to some extent, by human effort. But all effort or activity is supposed to be due to the element of *rajas* which is sought to be transcended in *mokṣa*. Perhaps, that was one reason why Śaṁkara argued so insistently that *karma* cannot lead to *mokṣa*. In any case, the radical difference between *mokṣa* as a *puruṣārtha* and the other three *puruṣārthas* has not only to be recognized in any discussion on the subject but also the radical incompatibility between them at least in the direction to which their seeking would lead. The seeking for both *artha* and *kāma* leads one naturally out of oneself and seeks to establish a relationship with objects and persons, though primarily in instrumental terms. It is the pursuit of *dharma* which makes one's consciousness see the other, not as a mean to one's own ends, but in terms of one's obligations towards it. Normally, such a sense of obligation arises only for other human beings or even all living beings, but it can be extended beyond these also. *Mokṣa*, however, is a transcendence of that other-centred consciousness from which the sense of obligation arises. In fact, the ontological roots of most conceptions of *mokṣa* in the Indian philosophical traditions either deny the ontological reality of the 'other' or relegate it axiologically to a peripheral position. The Advaita Vedānta radically denies the ultimate reality of the 'other', while the non-Advaitic schools primarily assert the relationship of the self to the Lord, and only secondarily the

relation between one self and another. Basically, this relation is mediated through the relation of each to the Lord and is thus indirect in character. Sāṁkhya does assert the ontological plurality of selves, but they all are like Leibnitzian monads, having no interrelationship amongst themselves. The hard core Nyāya-Vaiśeṣika position denies the very possibility of any conscious relationship between selves in the state of *mokṣa*, as they are not supposed to be conscious in that state. Amongst the non-Vedic or even anti-Vedic traditions, the Jains seem to have more or less a Sāṁkhyan conception with little essential relationship between selves which have become free. The Buddhists do not accept the notion of self, but at least they do accept a relationship between the realized and the unrealized persons, and articulate it in their notion of *Karunā* or *Mahākaruṇā*. Parallel to this is the notion of the Bodhisattva who feels his obligation to the suffering humanity to such an extent that he is prepared to forego entering the state of *nirvāṇa* in order to help them. But even though this is a great advance in the articulation of the relationship between those who have attained liberation and those who have not, it still is an asymmetrical relationship. It is the suffering humanity that needs the *Bodhisattva*; the *Bodhisattva* has no need of it. The seemingly similar notion of *Avatāra* in Hindu thought is even more asymmetrical as it is a relationship between God and man. It is only in certain schools of *bhakti* that the relation becomes a little more symmetrical as God is supposed to need men almost as much as men need God. But the relation between men, as we have pointed out earlier, becomes basically contingent as it is only as *bhaktas*, that is, as devotees of the Lord that they can have any real relation with one another.

Tantric thought, on the other hand, does seem to conceive of a necessary relationship with the 'other' without which one cannot be oneself. But then, this 'other' is confined to a member or members of the other sex only, and the relationship is restricted primarily to the sphere of sex. In the Tantric perspective, men need only women, and presumably, women only need men for self-realization. However, if one reads the texts, it all seems a male affair—at least, at first sight. In fact, if one considers such a ritual as the *kumāri pūjā*, or the worship of the virgin, it is difficult to see how she is involved as a *sādhikā* or seeker in the process. Rather the whole thing shows a callous disregard for the feelings of the female or the traumatic effect that such a ceremony may have on her for life.

The self-centric and male-centric character of large parts of Hindu *sādhanā* need to be explored in greater depth and with greater detachment than has been done until now. One of the possible reasons for this may, perhaps, be the identification of the feminine principle itself with Prakṛti and Māyā, which are conceived as non-self or even antagonistic to self and as the main cause for the non-realization by the self of its own nature. The roots of the self-centredness of Indian thought, on the other hand, may be said to lie in its ontological, ethical and psychological analysis of the human situation which gradually came to be accepted as unquestioned truth by a large part of the culture over a period of time. The analysis is epitomized in the famous statement of Yājñavalkya, the outstanding philosopher of the Upaniṣadic period, in the *Bṛhadāraṇyaka Upaniṣad* that nothing is desired for itself, but is desired only because it is dear to the self.[2] The illusion referred to here is the illusion that any object whatsoever can be dear for itself, the truth being that it is dear only because it subserves the interest of the self. The self in this context is, of course, supposed to be the Self with a capital 'S' and not the little ego or the self with a small 's' which is associated with *ahaṅkara, manas* and *buddhi* which are supposed to constitute the *antaḥkaraṇa* in some schools of traditional philosophical thought in India and with which the self is usually identified. But such an identification, however inevitable or natural it may seem, is the root of that foundational ignorance which is the cause of all suffering, according to these thinkers. It hardly matters whether the self, so conceived, be with a capital or a small 's' as the centre of all concern, striving, and attention remains something that is not the other but oneself. There is, of course, no 'other' in Advaita Vedānta, but that does not mean that the 'other' is treated as one's own self with a capital 'S' but rather as someone who ought to treat the 'others' as one does oneself, that is, as absolute ontological nullities.

The statement of Yājñavalkya, it should be noted, does not hesitate to use the word '*preyasa*' in the context of the Ātman, that is, the self with a capital 'S', and hence does not seem to subscribe to that radical distinction between *śreyasa* and *preyasa* which is usually made in this context. Rather, it points to a continuity in the concern with *preyasa* which, it is contended, cannot be given up in principle as it is the very nature of Being as consciousness to seek it, for it is what it essentially is. The only problem is the illusion with which it is also primordially endowed that it can achieve it through something other than itself. The difference between *kāma* and

mokṣa, on this understanding, would then consist in the fact that the former is necessarily the result of the illusion that the happiness of the self can be achieved through anything other than itself, while the latter is the giving up of the illusion. But giving up the illusion does not necessarily mean that one is happy or fulfilled or blissful; it only means that one is not dependent on anything else for the achievement of such a state. It may be argued that if it depends completely upon oneself, then what could possibly stand in the way of its non-achievement? Perhaps, it could be the attitude of the self to itself. The famous lines '*Ekohaṃ, Bahuṃsyām*' suggest some such dissatisfaction at the root of creation itself. The concept of *līlā* does not get away from this difficulty as the impulse to play requires as much a dissatisfaction with the previous state as anything else. But if non-dependence on anything else, or even the total absence of all 'other', does not ensure that there shall be no dissatisfaction with the state of one's own being in the sense that one does not want a change in it, then the way is opened for the perception that it is not the 'other' which is the cause of one's bondage but the attitude that one has to the 'other', or perhaps the stance that one takes towards the states of one's own consciousness. This could perhaps provide the clue to the ideal of *niṣkāma karma* adumberated by the author of the *Gītā*.

The return to the ideal of *niṣkāma karma* does not, however, tell us how to pursue *kama* or *artha* or even *dharma* in a *niṣkāma* way. The author of the *Bhagvad-Gītā*, it should not be forgotten, is also the author of the *Kāma-Gītā*, if the identity of the two is admitted. The *Kāma-Gītā* is propounded by Vāsudeva in the *Āśvamedhikaparva* of the *Mahābhārata* and consists of *ślokas* 11–17 in Canto 13 of the 14th *Parva*. The short *Gītā* concludes not only by making fun of all those who try to destroy *kāma* by stationing themselves in *mokṣa*, but also declares itself to be '*sanātana*', *i.e.* eternal and '*avadhya*', i.e. indestructible—terms that remind us of the characteristics of Brahman itself.[3]

It may also, be noted that the term used in the *Kāma-Gītā* for the state of those who are supposed to be steadfast in *mokṣa* is *mokṣarati*, a term that resonates with what *kāma* stands for in its central meaning in the Indian tradition, that is, sex.

It is, of course, true, as Charles Malamoud has argued, that there is always a wider and a narrower meaning of each of these terms, and that the

discussion of the *puruṣārthas* continuously slides between the two. According to him, in 'the sliding from the narrow to the wide meaning, it is always possible to make *dharma, artha* or *kāma* into the +1 that encompasses the two other terms in the list, and the *mokṣa* to boot'.[4] It is not clear, however, whether the statement is supposed to apply to the fourth *puruṣārtha*, that is, *mokṣa* also. *Prima facie*, the term *mokṣa* does not seem to have a wide or a narrow meaning; it simply has a fairly determinate, specific meaning, even though it may be conceived of differently in different systems of philosophy or even of spiritual *sādhanā*, Also, in the usual interpretation, it cannot encompass the other *puruṣārthas*, specially *artha* and *kāma*, as not only does it transcend them but also negates them. Their functioning as active *puruṣārthas* in the life of any human being may be taken as a positive sign of the fact that not only *mokṣa* has not yet been achieved, but that it is not even being striven for.

The deeper problem, however, relates to the notions of narrow and wider meanings of the three *puruṣārthas*. Professor Malamoud has tried to give the narrow and the wider meanings of each of the three *puruṣārtha*, but it is difficult to agree with his formulations. Dharma, for example, in its narrow meaning is, for him, 'the system of observances taught by the Veda and the texts stemming from it.'[5] To the unwary reader, this may seem very specific and definite, but it is nothing of the kind. The texts are so many and prescribe so many conflicting things that the talk of a 'system of observances' is to hide the difficulty, or even the impossibility of determining what one's *dharma* is. If *dharma* in the narrow sense were as clear or as unproblematic as Malamoud seems to make it, the *Mahābhārata* could not have been written. The determination of what *dharma* means is the central enquiry of that great epic, and it is difficult to say whether any definite answer has been given at the end of the epic. Perhaps, the message is that no such simple answer can be given. On the other hand, it is difficult to see how *dharma* in the wider sense as 'the order of the world and of society' or as 'the point of view allowing perception of the whole as a system organised into a hierarchy,[6] can even be treated as a *puruṣārtha* in the sense that it is something to be achieved or realized by one's actions. An 'order of the world and of society' can obviously not be a *puruṣārtha*, though the achieving of the vision of such an order may perhaps count as one. However, it should be remembered that the achievement of such a

vision is the cessation of all activity as to see things *sub specie aternitatis á la* Spinoza or as revealed in the *Viśva Rūpa* or cosmic vision presented in the eleventh Canto of the *Bhagvad Gītā* is to see that everything is what it is, and could not be otherwise. One may, of course, try to order one's own actions in accordance with the vision or to say 'thy will be done' or '*kariśye Vacanam tava*' as Arjuna does in the *Gītā*, but that would be to admit that the cosmic order permits an essential indeterminancy of a certain sort, that is, whether one would act in accordance with the vision or not. Or, rather, as most of the time one does not have the vision and does not know what the so-called cosmic order is, one has to live and act in the context of this essential and almost inalienable ignorance.

Dharma and *mokṣa*, as *puruṣārthas*, have difficulties of a different order in the context of their so-called wide or narrow senses than *artha* or *kāma*. But the latter two are not exempt from difficulties, even though they may be of a different order. Malamoud contents himself by saying that '*artha* is a most elastic notion',[7] and seems to think that this absolves him from the responsibility of giving its narrow and wider meanings which he had promised to do earlier. The examples given by him later from the *Arthaśāstra* on page 46 are themselves not very clear regarding the point that is being made, unless they are taken as illustrative of the elasticity or even the ambiguity of the concept. The *Arthaśāstra*, it may be remembered, is concerned with the *puruṣārtha* of a king, but as everybody cannot be a king what is described therein cannot be regarded as a *puruṣārtha*, if *puruṣārtha* is to mean that which is and can be an end for every human being by virtue of the fact that he is a human being. *Artha* in the sense of wealth may be a *puruṣārtha* for everybody, but in the sense of political power it can hardly be regarded as such. But there are no Sastras to tell how to pursue *artha* as a *puruṣārtha* in the sense of wealth, unless all the diverse methods of cheating the state described in the *Arthaśāstra* are treated as such.

Kāma as a *puruṣārtha*, on the other hand, has perhaps no such problems as whether in the wider sense of desire or narrower sense of sexual desire it can be a *puruṣārtha* for everybody. The *Kāmasūtra*, which is a text ostensibly devoted to *kāma* as a *puruṣārtha*, gives both the wider and the narrower meanings in *sūtras* 1.2.11 and 1.2.12. The first defines *kāma* as the fitting relationship between each sense and its object which, when in perfect

harmony, give pleasure to the self conjoined with the mind.[8] The second emphasizes the preeminence of the sense of touch and the supervening pleasure derived from it that is supposed to be the *kāma par excellence*.[9] But it seems that the second definition does not carry forward the insight of the first definition. *Kāma* in the narrow sense, the sense in which the *Kāmasūtra* is concerned with it, may be treated as the paradigmatic case in which not only all the senses find simultaneous fulfilment from their appropriate objects but where the subject is also simultaneously the object, the enjoyer who is also the enjoyed. Malmoud, however, is not using the wider or narrower senses of *kāma* in the sense of the author of *Kāmasūtras* but rather of Bhoja's *Śṛṇgāra-prakāṣa*. Bhoja's attempt to universalize the concept of *sṛṇgāra* is certainly interesting, but it is not clear how it illumines the notion of *puruṣārtha*. Rather, it renders it still more confusing, for it is difficult to see how *rasa* can be a *puruṣārtha*; for if it is to be treated as one, it would not only have to be a *puruṣārtha* alongside other *puruṣārthas*, but also multiple in character.

But, however one may conceive of the wider or the narrower senses of the *puruṣārthas*, it hardly helps in solving the problems pointed out earlier, nor does it illumine the problem of the interrelationships between them. Professor K.J. Shah, in one of the most thoughtful articles on the subject, has suggested that the *puruṣārthas* as goals of human life should be treated as interactional in character, and not as hierarchical.

> He argues: We must realise that artha will not be a puruṣārtha unless it is in accord with *kāmet, dharma* and *mokṣa; kāma* in turn will not be *kāma*, unless it is in accord with *dharma* and *mokṣa*; and *dharma* will not be *dharma*, unless it too is in accord with *mokṣa*. Equally *mokṣa* will not be *mokṣa* without the content of *dharma; dharma* will not be *dharma* without the content of *kāma* and *artha*. The four goals, therefore, constitute one single goal, though in the lives of individuals the elements may get varying emphasis for various reasons.[10]

But if there is only one single goal, then what is it, and what are its relations to these four goals? Shah is a careful thinker, but, if one reads carefully what he has written, one would find diverse and conflicting pulls in it. One is, for example, surprised to find *artha* omitted when he is talking of *kāma*, and both *artha* and *kāma* omitted when he is talking of dharma. Is the omission deliberate or accidental? What has *mokṣa* to do with *kāma* and

artha? why has it to relate to them only through the medium of *dharma*? Are *artha* and *kāma* only contents, *dharma* both form and content, and mokṣa only pure form, according to Shah? There may be satisfactory answers to these questions but, unless they are given, merely saying that there is only 'one single goal' will not suffice.

The relationship between the *puruṣārthas*, and the hierarchy between them, have been the subject of discussion and debate even in classical times. One of the best known of these discussions is in the *Mahābhārata* where Yudhiṣṭhira asks all his four brothers as well as Vidura as to which of the *puruṣārthas* among *dharma*, *artha* and *kāma* is the highest, the lowest and intermediate in importance.[11] Arjuna extols *artha* in the sense of production of wealth through agriculture, trade and diverse forms of crafts as the highest of the *puruṣārthas*, Bhīma, on the other hand, extols *kāma* as the essence of both *dharma* and *artha*, while Nakula and Sahadeva try to support Arjuna's position with some modifications. Vidura tries to give an extensional definition of *dharma* and describes what it consists in. Yudhiṣṭhira, at the end, talks of the transcendence of *artha*, *dharma* and *kāma* in *mokṣa*, though he is candid enough to admit that he knows nothing about it. He ends by making a statement which hardly offers any clarity on the issue and, in fact, has a fatalistic flavour about it. All in all, it is a poor show on the part of the heroes of the great epic on this profound theme which is of such importance to fundamental reflection on human life. The situation appears even more disquieting if we remember that the reflection is being done by persons after the Great War in which Arjuna had been given the discourse on the *Gītā* by Krishna and after Yudhiṣṭhira had to face moral problems of the acutest kind. It is not a little ironic that the one who comes nearest to talking about *niṣkāma karma*, which is supposed to be the central message of the *Gītā*, is not Arjuna but Yudhiṣṭhira.

However, even if we leave aside the *Mahābhārata* discussion regarding the interrelationship and the hierarchy between the *puruṣārthas* as unillumin-ating, the usual traditional answer in terms of the supremacy of *dharma* is not helpful either. And this is for the simple reason that it is not clear what *dharma* is. The four sources usually given by Manu and others for finding what *dharma* is are of little help, as not only do they conflict with each other but there are deep conflicting divisions within each of them. The so-called revealed texts are no less conflicting than the tradition

embodied in custom or the behaviour of people generally known as good or one's own inner conscience. The question as to whether they should be treated in a descending or ascending order of importance is irrelevant as none of them by themselves or even all of them together can help in settling any difficult problem of *dharma* except in an *ad hoc* or pragmatic manner.

The oft-repeated traditional theory of the *puruṣārthas*, thus, is of little help in understanding the diversity and complexity of human seeking which makes human life so meaningful and worthwhile in diverse ways. The *kāma*, centric and *artha*-centric theories of Freud and Marx are as mistaken as the *dharma*-centric thought of sociologists and anthropologists who try to understand man in terms of the roles that he plays and society in terms of the norms of those roles and their interactive relationships. For all these theories, the independent seeking of any value which is different from these is an illusion, except in an instrumental sense. The ultimately suicidal character of all such theories is self-evident as they do not provide for any independent value to the life of the intellect which they themselves embody. Fortunately for the Indian theory of *puruṣārthas*, it has postulated the ideal of *mokṣa* which is tangential to all the other *puruṣārthas*. But it, too, has no place for the independent life of reason as a separate value or for that matter for any other life which is not concerned primarily with *artha, dharma, kāma* and *mokṣa*, This is a grave deficiency and points to the necessity of building a new theory of the *puruṣārthas* which would take into account the diverse seekings of man and do justice to them.

NOTES

1. *Bhagavad Gītā*, II 46.

2. *Bṛhadāraṇyaka Upaniṣad* 2.4.5: *na vā are sarvasya kāmāya sarvaṃ priyaṃ bhavatyāt-manastu kāmāya sarvaṃ priyaṃ bhavati/*

3. *Yo māṃ prayatate hantuṃ mok ṣamāsthāya paṇḍitaḥ/tasya mokṣaratisthasya nṛtyāmi ca hasāmi ca/avadhyaḥ sarvabhūtānāmahamekaḥ sanātanaḥ— The Mahābhārata* 14, 13–17.

4. Charles Malamoud, 'On the Rhetoric and Semantics of Puruṣārtha' in T.N. Madan (ed.), *Way of Life: King, Householder, Renouncer: Essays in Honour of Louis Dumont*, (New Delhi, Vikas Publishing House, 1982), p. 44.

5. Malamoud, p. 44

6. *ibid*., p. 44.

7. *Ibid*., p. 44.

8. *Śrotratvākcakṣurjihvāghrāṇānāmātmasaṃyuktena manasādhiṣṭhitānaṃ sveṣu sveṣu viṣayeṣvānukūlyataḥ pravṛtttiḥ kámaḥ—1/11*

9. *sparśaviśeṣaviṣaviṣayāttvasyābhimānikasukhānuviddhā phalavatyarthapratītiḥ prādhā-nyātkāmaḥ—1/12*

10. K. J. Shah in T. N. Madan.

11. *The Mahābhārata*, Śāntiparva, adhyāva 161.

J. A. B. VAN BUITENEN

Dharma and Moksa

THIS PAPER is meant to provide some historical background on the question of the distinction between *dharma* values and *mokṣa* values in Indian thought. The Indian context requires that we view "moral values"—I shall hereafter avoid the term—first in relation to different eschatologies. Very roughly, we may distinguish two.

First, the conception of an "after-life" which, though interrupted by intervals of heaven and hell, remains on the same level as the present life, and, although its varying degrees of "spirituality" (*caitanya* and related terms) encompass the entire range from worm to Brahmā, cannot be regarded as essentially different from human life. This is *saṁsāra*, "transmigration," usually involving the doctrine that a certain "soul" continues from life to life in an embodied existence, the facts of his body and his life being largely dependent on what acts the individual has performed in former such lives, yet affording limited scope for gradual self-perfection—but on the same level—by meritorious acts.

Second, the assumption of *mokṣa*, "release," from the above "bondage" (*bandha*) to continued embodied existence. Taken by and large, all Indian systems acknowledge that a supreme effort of consciousness, a total isolation of a person's awareness of his "soul," representing a "supreme soul," from all that is non-soul is the means to achieve this release. Buddhism does not positively start from a concept of soul, but negatively from that which is non-soul, preferring to describe the self-recognition of the soul as *nirvāṇa*, the extinction of the flame of life-thirst, and the indescribable that remains after the extinction as being void of all worldly description.

When we inquire into the history of these conceptions, much, of course, must remain obscure; still, there is sufficient evidence to justify certain conclusions.

Examining the oldest texts, we find, instead of transmigration, a hopeful prospect of heavenly joys in an after-life. Access to this abode is afforded

by the performance of ritual acts, which are not infrequently discouraging in complexity and expenditure. But it soon becomes clear that the obtaining of heaven is far from the overriding concern of sacerdotal circles, that, in fact, their prime concern is to control and maintain the universe as it is. Such control and maintenance are sought and found in the perfect knowledge and impeccable application of rites which may be said both to constitute and to produce the *dharma* of the universe, which means approximately the maintenance of the proper equilibrium of the cosmos. In the sacrificial area the forces that control the world are generated, are brought into interplay, and are guided by priests who profess to full mastery by virtue of their knowledge. There is an undeniable magnificence in the certainty of purpose and the elaboration of its achievement which forces us to recall that roughly in the same age Āryan supremacy was carried from Sindh to the Western sea and from the foothills of the Himālayas to the Vindhya range.

But in the most ancient age we already have intimations of different outlooks and practices. From the *Ṛg Veda* onward we meet personalities who were evidently outside brahministic sacerdotalism. These figures, long-haired, given to self-induced states of "ecstasy" and intoxication, apparently sought after other states of well-being which involved principally themselves and through themselves possibly others to whom they extended medicine-man services. We recognize remote precursors of the *yogins*, and among them precursors of a Gautama and a Mahāvīra.

In later portions of the Brāhmaṇas, the Āraṇyakas, and the early Upanisads, we find a growing preoccupation on the part of officiating priests, who continue to think in ritualistic terms, with the ultimate basis of the ritually poised cosmos. This ultimate is identified both with certain ritualistic constants, most generally either Word or Fire, or a diunity of them, and with a divine creator. This creator (the *yajñapuruṣa*, the "sacrifice-person"[1]) certainly was believed in as a personal deity in other circles, but among officiating priests ever more closely approximated to the creative principles of ritual.[2] A certain hierarchic organization was imposed on the cosmos, frequently a triad, and this hierarchy was conceived of as stages of creation in a creation process originating from the ultimate cause. Basically this creation process was a self-creation, a self-manifestation of the original One, an individuation which ended with his or its becoming a

person (*ātman*).[3] Increasing significance was being attached to his or its original state, before the self-creation—represented as a ritual event—took place and speculations arose about the reversion of the self-creation. Probably under some influence from protoyogic circles, there was a tendency to enact ritually and produce such a reversion, which amounts to complete transcension over man's created, i.e., embodied, condition.

At one stage of this complex of speculations there entered the idea of transmigration, which first appears, not as rebirth, but as redeath. This re-death was said to be conquered by certain rituals accompanied by knowledge of the great cosmic connections enacted in the sacrifice and involving the creation process.[4] It is of importance to note that before transmigration was introduced into these speculations the ritual practicability of ascension and transcension had already been articulated and that the idea later called *mokṣa* did not come into being as a corollary of bondage in *saṇsāra*. Transmigration was absorbed into a system that afforded room for it, but was not itself basically altered. We may further stress a point usually ignored in discussions of *karman*: transmigration could solve a very real problem of applied ritualistics. If performed properly by a qualified person, a rite has an inherent efficacy in producing its result. There is no God dispensing services as he sees fit; results are automatically forthcoming. But what happens, it is asked, if the fruit fails to be realized, if the son fails to be born or rain fails to fall? The casuistry involved is known only from a later date, but for the problem to be mentioned then must imply its previous actuality.[5] We find a factor distinguished, called *apūrva*, which is the latent power of the act to bring about its fruit. This potency may continue and be actualized in a later life if adverse circumstances—early death of the beneficiary, etc.—prohibit its immediate realization. It is of interest to note this point, since it is exactly this latent power of man's acts which is carried forward in successive lives of his transmigrating "soul." The doctrine of *karman* and *phala*, act and fruit, is less a product of man's sense of justice, that one shall be punished and rewarded for what one has done, than a necessary consequence of the doctrine of the inherent efficacy of the acts. By "act" (*karman*) we have always first to understand the ritual act; by ignoring this plain fact such disciplines as the *karmayoga* of the *Bhagavadgītā* become unintelligible.[6]

Dharma is the observance of the necessary acts that keep the world intact. *Dharmas*, as the forces that are active in maintaining this world, efficacious potencies set loose for constructive purposes, are known in early Buddhism (*dhammas*) as *Daseinsmächte* of a comparable kind. It is necessary to keep in mind these functions of a term that can be rendered only very freely and loosely by "virtue."

Dharma retains much of this total sense of the cosmic status quo and the specific acts of all manner of beings which enforce it. *Dharma*, in Hinduism, is the cosmically or "religiously" determined activity of all existing beings to maintain the normal order in the world. Therefore it can be rendered "norm," a meaning particularly known from Buddhism. Yet, we should not think of *dharma* as both the act and its result, as something static, but as a balance which is constantly being struck. It retains the connotation of powerful activity operating in the universe and even constituting this universe. These activities called *dharma* are imposed as a kind of natural law on all existent beings in the universe; and a being's initiating of such activity is not a moral act contingent on his disposition, but an innate characteristic,[7] that which makes a being what it is, assigning the part it is to play in concert. It is the *dharma* of the sun to shine, of the pole to be fixed, of the rivers to flow, of the cow to yield milk, of the *Brahmin* to officiate, of the *kṣatriya* to rule, of the *vaiśya* to farm.

It is as difficult to define *dharma* in terms of Western thought as it is to define "culture" in Sanskrit, and for the same reason: both are all-comprising terms including institutions, a way of thinking and living, accomplishments characteristic of people. Even modern usages of the term show the all-inclusive scope of the concept of *dharma*: one speaks of Hindu *Dharma*, Christ *Dharma*, where the term denotes far more than a certain creed.

These remarks may warn against a natural overestimation of the significance of the *trivarga* (*dharma, artha*, and *kāma*) as classifying different sets of practices. In principle, all three are *dharma*. It is not less important for man to seek *artha*, achievement in his occupation in the largest sense of the word, or to gratify those desires that maintain the population of the earth, than to follow the precepts of religion and observe the canons of law. One cannot choose the rule of *dharma* if that implies that

one can also refuse to do so, even less than in our society we can choose to live on a level where law is not applied and yet form part of the society.

In other words, *dharma* is all that activity that a man, if he is to live fittingly, is required to contribute to the fixed order of things, to the norm of the universe, which is good and should not be altered. *Adharma* is the exact opposite: acts contrary to the established order in the widest sense of the word. The acts performed by man exist, once performed, forever, carrying their latent potential to a new scene where they will materialize in new circumstances for man to live in.

Mokṣa, "release," is release from the entire realm which is governed by *dharma*, that is, in the picturesque phrase, the Egg of Brahmā. It stands, therefore, in opposition to *dharma*, but the opposition is of another kind than that of *adharma* to *dharma*. Dharma upholds the established order, while *adharma* threatens it; *adharma* is sheer lawlessness. *Mokṣa*, however, is the abandonment of the established order, not in favor of anarchy, but in favor of a self-realization which is precluded in the realm of *dharma*. Occasionally, especially in the *Bhagavadgītā*, we find sentiments to such extent in favor of the established order that aspirants are discouraged from abandoning it openly, but this is the exception rather than the rule. Fundamental to Indian thought is the idea that the world and phenomena, being transitory, can never be an ultimately valid goal, that there is a lesser true-ness in the creation than in that principle or person from whom creation originated, who is eternal, constant, reliable, free from changes and transformation, unalterable, and therefore truly real. Consequently, there is universal agreement that to seek communion with that ultimate is a higher purpose than to perpetuate one's existence in the world order. Let the world be, if you can do better.

As said above, more or less distinct developments contributed to the articulation of the ideal of *mokṣa*, though there can be no doubt that there was a great deal of interaction and exchange be ween these developments. The originating milieu of a certain conception of *mokṣa* remained largely decisive as to the methods pursued to achieve it.

For our present purposes we may distinguish three different disciplines, the *upaniṣadic*, the *yogic*, and the *bhakti*.

The upaniṣadic *mokṣa* was developed out of the ritualistic world-view. The later parts of some Brāhmaṇas, the Āraṇyakas, and the Upaniṣads show the efforts of the priest to exhaust totally the signification of the ritual as a cosmic reproductive event. In the course of a general evolution in which the original gods and powers, propitiated for certain purposes by certain rites, had gradually to give way to an ever more total interpretation of the rite as a perpetuating reproduction of cosmic becoming and being which involved the gods as much as officiants and utensils, as parts of a whole much vaster than they were, this "whole," manifested in ritual, gave rise to speculations as to the "whole entity," of which the ritual and the ritually perpetuated cosmos u-ere the manifestations. The knowledge of the One behind the ritual is increasingly important, to the extent that eventually it was felt to be useless to perform rites without this knowledge. With this knowledge the priest enacted in his rite, and even in himself, the self-manifestation of the One beyond; and in so far as man himself was the self-manifestation—for it is reflected on different levels, *adhilokam, adhibhūtam, adhiyajñam, adhyātmam*[8]—man could by virtue of his knowledge of the rite transcend himself through the rite and return to the state before manifestation. Knowledge was the principal means, the rite its application.

The origins of *yoga* are largely obscure. It seems probable that primitive inducement of trance states is at the root; Yoga itself has never got rid of it. Though there is a superstructure of Sāṁkhya-inspired rationalization, the physical manipulations, breath control, deliberate exhausting of the wakefulness center by pin-pointed concentration, by hypnotic repetitions of formulae, and, in heretical and perhaps more original forms, by intoxication, ctc., self-hypnotization into a trance sleep or cataleptic states, where every consciousness ceases, sufficiently testify to the archaic practices of shaman and medicine-man.[9] Sāṁkhya cosmogony was superimposed on the practices, and the *yogin* was thought to repeat in the gradual slackening and ceasing of supposedly hierarchically ordered functions in reverse order the self-creation process of the ultimate in himself and to return through a sequence of self-dissolution to the original state of non-manifestation.

The theistic *bhakti* discipline is probably most related to what is called mysticism in the West. Inspired by an illimitable love for God, the yearning soul by a process of ever more absorbed contemplation reaches an ecstasy

of yearning which transports him to the most perfect union possible with God. Frequently, since the deity remains distinct from the soul that seeks him, though the soul itself may lose all individuality in the absorption of his contemplation, the idea of a heavenly abode returns—Vaikuṇṭha.

We have left out of consideration here a *mukti* discipline which, after Yoga, is probably best known outside India, the *karmayoga* of the *Bhagavadgītā*. Though far from being so important or central in Indian soteriology as is often erroneously supposed, it is indeed a most interesting doctrine, a hybridic construction attempting to achieve a compromise between two incompatibles.

Dharma, as we saw, is the norm of action for the world as it is: its realm is *saṃsāra*. It involves the observance of a great number of precepts, all aimed at upholding the given order of things, from procreation and occupational success to law, religious worship, and pilgrimage, and thus the performances of acts, ritual acts, which achieve this purpose. *Mokṣa*, on the contrary, starts with a deliberate rejection of this order, a refusal to submit to its demands, a total severance of all ties with family and society and all laws and customs regulating it, with the universe at large and the rites which contribute to its stability. A *Brahmin* choosing *saṃnyāsa* renounces caste. What possible relation can there be between *dharma* and *mokṣa?*

This question has occupied the best minds in Indian thought. In Vedānta, the discussions center around the meaning of the first words of the *Vedanta Sūtra*: "Subsequently, therefore, arises the desire to know *Brahman*." (*Athāto brahma-jijñasa*). Can this mean that this desire for *mokṣa* through knowledge is conditioned by something that precedes it? The question is hotly disputed. The original Vedānta view was indeed *jñānakarmasamuccaya*, i.e., the combination of both knowledge and act; but acts necessarily involve results, and the results bind the performer. Śaṃkarācārya, to quote the most explicit rejector, is obliged to state that ultimately there can be no direct relation between any part of *saṃsāra* and the knowledge of *Brahman*, which is synonymous with release. "The knowledge of *Brahman* puts an end to any activity," he states,[10] and in the *Upadeśasāhasrī*[11] he repeats emphatically the necessity of *saṃnyasa*, the absolute relinquishment of all worldly ties.

Other thinkers continued the *jñānakarmasamuccaya* doctrine but not without important modifications. Rāmānuja, for instance, as in other cases adhering to a more traditional view and simultaneously modifying it, puts it thus, that acts if performed not for their results, that is, as factors contributing to the established order, but solely as propitiation and worship of God, are indeed an indispensable propaedeusis to *bhakti* and, through *bhakti*, to release. We note that, hardly less than in Śaṁkarācārya's case, for Rāmānuja, too, the acts have lost their own significance; it is not the result that matters, but the intention. Rāmānuja was undoubtedly inspired by the *BhagavadgĻtā*, on which, however, he imposed a stricter order than the original authors did.

The *Bhagavadgītā* is interesting for its documentation of a fundamental conflict between the *jñānayogin*, who is, largely, the *yogin* of the second category distinguished above, with a Sāṁkhya or proto-Sāṁkhya rationale, and the brahministic upholders of *karman* and *dharma*, between the asocial *Saṁyasins* and the mainstays of society. Release had already become the supreme goal of human aspirations: but where did that leave those whose sacred duty it was to maintain the cosmic order through the rites which only they were qualified to perform? And if they were to renounce their duty and step out to work for their own salvation, where would that leave the world? The world obviously must go on, if only because the demands on the capacity and effort of the aspirant to release are too high to be met by the ordinary person. The compromise that is achieved is extremely interesting: continue to perform the necessary acts, but abjure their results. So, by changing one's intention, namely, not to enjoy the good fruits resultant on the performance of good deeds, one can prevent those fruits from being realized. But that means also that the efficacy of an act is no longer automatic, and if thought through consistently this proposed change of doctrine could reform the entire doctrine of *karman*.[12] But it remains a makeshift solution which the authors are quite hesitant about, sometimes preferring it to *jñānayoga*, sometimes subordinating it to *jñānayoga*; only when stated as part of *bhaktiyoga* does it become meaningful.

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[1] Cf. the Puruṣa Sūkta, *Ṛg-Veda* X. 90; the ritual basis is provided by the immolation of a human victim symbolically represented in, for instance, the concluding rites of the *pravargya*, the recitation of the Sunaḥśepa legend at the *rājasūya*. See J. Heesterman, *The Ancient Indian Royal Consecration*

(The Hague: Morton & Co., 1957), and the late Agnicayana rituals (the rituals of the building of the fire).

[2] Hence the personality of Brahmā, the Creator whose four mouths (also representing the *ākāśa*, "ether") pronounce the four Vedas at the beginning of creation; he is a popular personification of *Brahman* in the older function of the ritually creative sacred Word.

[3] I refer to my papers: "Studies in Sāṃkhyra (II): Ahaṃkāra," *Journal of the American Oriental Society, 77*, No. 1 (March U, 1957), 15 ff., and "Studies in Sāṃkhya (III): Sattva," *ibid*., No. 2 (June 15, 1957), 88 ff.

[4] *Bṛhadāraṇyaka Upaniṣad* 1.2.

[5] We find it in Pūrvamīmāṃsā discussions on the immortality of the soul (which, to the Mīmāṃsaka, is naturally the performing agent's soul). Thus the Mīmāṃsaka is able to account for the *jñānakāṇḍa* portions (portions containing esoteric knowledge) of the Veda (Āraṇyaka and Upaniṣad), which, to him, are subordinated to the *karmakāṇḍa* portions in so far as they provide the evidence for the eternaiity of the *ātman*, which the ritual requires.

[6] It is particularly those ritual acts which presuppose in the performer a desire for a certain fruit (type: *svargakāmo jyotiṣṭomena yajeta*, "one desirous of heaven should sacrifice with the Jyotiṣṭoma") that binds the performer to the enjoyment of the automatically forthcoming fruit, and only secondarily other acts.

[7] Hence *dharma* could assume the meaning of "essential property; property," among the logicians.

[8] "With reference to, or as applied to, the (three) worlds, the constituent elements, the ritual, the performer's person."

[9] Cf. Mircea Eliade, *Scbamanismus und Archaiscbe Ekstasctecbnik* (Zurich: Rascher Verlag, 1957).

[10] *Bṛhadāraṇyaka Upaniṣad* I.iv.7.

[11] Especially in the *gadya* (prose) portion.

[12] If it is possible to "wish away" the *karmaphala* (fruit of the act) while doing the act, this means that the act is deprived of its finality, and its performer of his motivation, so that other motivations have to be discovered for the agent, e.g., as the *Gītā* proposes, a sense of social responsibility. Rāmānuja, keenly realizing that the *Gītā's* doctrine of the renunciation of the rewards of the acts always envisages ritual acts, explains, in his *Gītabhāṣya*, that among the three categories of acts (*nitya*, "daily recurring,"; *naimittika*, "occasional"; and *kāmya*, "inspired by desire") the last category alone must be given up. This follows naturally from the Mīmāṃsā theory, since in the *kāmya* acts (type *svargakāmo jyotiṣṭomena yajeta*) the performer's desire-for-heaven is his qualification (*adhikāra*), and unless he desires the *phala* (e.g., heaven) he cannot even perform the act; the *nitya* acts, on the other handi have no *phala*.

DANIEL H. H. INGALLS

Dharma and Moksa

IN WRITING OF *dharma* and *mokṣa* I shall take as my point of departure the paper which Professor Taubes has written on the conflict of virtue and faith in the European tradition.[1] Taubes' paper is very brief. It makes one point, but it makes it clearly, and it is a crucial one. In the West, he points out, we have a system of ethics, originally a social ethics appropriate to a city state, but one which became more and more desocialized and individualized until under the Roman Empire it became about as egocentric as ethics can become. This sort of ethics was then challenged by various systems of irrational belief or faith which reified the stimulus to virtue not in man but in a power beyond him: in Isis, in Demeter, and so on, but especially in the Christian God. Virtue in its older sense of human-based perfection came to be considered pride, a sort of vice. To quote St. Paul, "Now we are delivered from the law,… that we should serve in newness of spirit and not in the oldness of the letter."[2] Taubes makes out that the history of European ethics since the advent of Christianity has been a contest back and forth between these two ideals. I dare say he would admit other momenta in the history of European ethics, but he is right in calling this a primary one.

Now, it may be useful to observe whether the same conflict occurs in India. Our observation may lead us to consider what the Indians meant by *dharma* and *mokṣa*, and to understand to some extent how Indian religion differs from that of Europe.

One can certainly find in India texts which remind us of the text which Taubes quotes: the strictures of Plotinus against the Gnostics. "This school," says Plotinus, "is convicted by its neglect of all mention of virtue. … For to say 'Look to God,' is not helpful without some instruction as to what this looking imports."[3]

I have been making lately a translation of Bhāskara's commentary on the *Gītā*, a commentary which is highly argumentative and which constantly fights in defense of a social morality against the theories of Śaṁkara, which

in Bhāskara's opinion are quite destructive of morality. I shall quote a few passages to show how similar the sentences ring to those of Plotinus. Actually I believe the similarity is superficial, but why I believe this I leave until later.

Bhāskara comments on the verse: "He who knows the self to be indestructible, eternal, unborn, unchanging, how should that man cause to be killed anyone or kill anyone."[4]

After glossing each word in order to give the literal meaning, Bhāskara turns to refute the religious enthusiast Śaṁkara:

Here some philosophers who are too lazy to work for liberation (*mokṣa*) explain the verse by imputing to the Blessed One the following doctrine: "For the wise man all works are excluded; such is the Blessed One's intention in this passage. The expression "kills" is used merely as an example. Works which are enjoined in scripture are enjoined only on the ignorant. This is the judgment of the Blessed One."[5]

This explanation of the Blessed One's intention that pays no attention to the preceding words of the text will not do. Why? Because it is to urge Arjuna on to battle that the nature of the self is here described. Having told him, "Therefore, fight, Bhārata,"[6] God sets out to establish the rightness of this with the words "It is not born," etc.[7] If the intention of this verse were the renouncing of all work, surely it should not have been told to Arjuna. Just suppose that the Blessed One had stated that works were impossible for the wise man who knows that the self is void of the six organic alterations. The same might just as well hold true of Arjuna, in which case he would cease to act. Furthermore, all the following verses would be improper. Accordingly, one should not cherish a vain hope, nor let one's mind be tempted to forsake one's moral duty (*dharma*), thinking, "Let us just sit here comfortably and receive liberation (*mokṣa*)."

Again:

The distinction of good and evil, of bound and released, fits only with our view.[8]

Or:

A just battle, that is, one which does not depart from morality (*dharma*), than this nothing makes for greater good. For others, too, adherence to their proper code of morals makes for good. In this way the text combines knowledge and works as both making for good.[9]

One will admit that some similarity exists between Bhāskara's attitude and that of Plotinus. Both men are incensed at a religious enthusiasm which sets aside the morality of everyday life. What difference exists between the Indian and the European attitude can best be seen by examining the history of Indian ethics. To me, at least, it can best be seen in this way, for I can see no use in comparing two statements out of historical context unless one

suspeas that one of them may be eternally true. For myself, I have no such suspicion concerning Bhāskara or Plotinus.

Ancient Indian concepts of morality, and by this I mean the concepts seen in most of the Vedic, epic, and early Buddhist literature, the literature, that is, composed before the time of Christ, were fully as anthropocentric as the Greek concepts. The virtues of firmness, courage, forbearance, discipline grow from within the man himself; they are not given him by God. Such prayers as we find to a god are requests that he intercede in the material world, granting wealth, cattle, protection from snakebite or a long life in heaven. Such concern as is shown with a divine principle—with *sat* (the Existent), *vijñānam* (wisdom, consciousness), or *brahma*—indicates a desire for revelation, for a statement of a fact, not for guidance in one's moral life.

Europeans who write on Indian religion and philosophy greatly underestimate this ancient Indian concern with individual, practical morality. In the Sanskrit epics, for example, this concern is omnipresent. Take the *Rāmāyaṇa*, the Second Book dealing with the events at Oudh, and observe how much of all this poetry is concerned with moral decisions. We have Kaikeyī's decision to hold the king to his promise for her own advantage and that of her son, and the king's decision to keep his promise to the detriment of himself and his kingdom rather than break his word. With Rāma the decision is immediate, but chapter after chapter is concerned with the grief of Kausalyā and with Sītā's problem: to maintain her *purdah* status or to expose her face to common men and the sun and follow her husband into exile.

To speak of this concern with moral judgment as it appears in the *Mahābhārta* would soon furnish material for a folio volume. I shall spare the reader this, but point out just one peculiarity of the *Mahābhārata* that is often overlooked by non-Indians. The value of the *Mahābhārata* to Indian readers, the joy they have taken in it, derives not from its encyclopedic character, and not much from the garbled accounts of politics and metaphysics in the 12th Book, but from a series of moral problems to which there are usually three answers given: the answer of Bhāma, which is the answer of materialism, egoism, brute force; the answer of Yudhiṣṭhira, which is the answer of piety, of social virtue and tradition; and the answer of Arjuna, which falls between the two, and so reveals the finest moral

qualities of man: courage, energy, pity, self-discipline.[10] Whenever a crisis arises the three brothers deliver their parts: at the gambling match, the insult to Draupadī in banishment, when planning the war, in the incidents of the war, and finally at the time of victory. The *Mahābhārata* would really be a mediocre production if it were not for this. The verses run constantly to doggerel; there is none of its science or theory that cannot be found more clearly expressed in other texts. But the moral situations and the human response to them are unique.

The virtue of virtues in the Sanskrit epic is what one might call discipline. The favorite Sanskrit word is *yoga*, a putting of oneself under the yoke, a personal training very like the Stoic *askēsis* to which Taubes refers. One disciplines the senses by the mind, the mind by the judgment, judgment by the very self. Other words also are used: *apramāda*, non-carelessness; *dhāratā, dhatryam*, which have the double meaning of firmness and wisdom. One must always be on the lookout; one must do nothing carelessly. In Jainism this term *apramāda* is a favorite one. The true Jaina must be a man of enormous energy, never relaxing his attention for a moment. To return to the epic, a man who has so disciplined himself that this carefulness comes to be what one might call second nature to him is called *ātmavān*, literally a man with a self. The term is used like other idiomatic expressions, for example, *hastavān*—a man with a hand: it is said of a perfect bowman that he handles his weapon naturally, as though it were a part of him. The man with a self acts always with the highest virtue of which a man is capable. It has become his nature so to act. He is a *mahātma*, that is, he is great.

Now, this discipline, this training, comes from within the man himself and from nowhere else. This notion is universal in ancient India. It is as common in Buddhism as in the epics. "By ourselves we do evil; by ourselves we do good. The Buddha only shows the way."[11] Early Buddhism actually carries the implications further than the epic; it insists on free will. But even in the epic free will has the upper hand. Only when a man's effort is frustrated or when he is overcome with grief does he become a predestinarian. The blind Dhṛtaraṣṭra, foreseeing defeat, may say, "I think persistent time must make its round, nor can I more escape it than the rim can leave the wheel,"[12] and similar remarks are frequent with Dhṛtarāṣṭra,[13] as they are with others who are faced with death or who lament some

grievous loss.[14] But the successful man or woman is always an upholder of free will. Yu-dhiṣṭhira's mother says to him, "Kings are the cause of the times, not the times the cause of kings."[15] This association of success with the doctrine of free will or "human effort" (*puruṣakāra*) was felt so clearly that among the ways of bringing about a king's downfall is given the following simple advice: "Belittle free will to him, and emphasize destiny."[10]

In the foregoing remarks I have considered *dharma* only on the human. plane, as an ideal or goal of human morality. The word has a much broader meaning and can be applied to cosmological regularity as well as human. Since this aspect of the term is well treated in Dr. van Buitenen's paper,[17] there is no need for me to discuss it at this point.

The notion of *mokṣa* is a much later one in the history of Indian thought than the notion of *dharma*. If one looks at the various schemata which the Indians have made of life and experience, *mokṣa* comes as one of the Hindu fourths that were added on to Vedic triads. There were the three Vedic stages of life: studentship, householdership, and retirement. Hinduism added a. fourth: complete abandonment. There were three Vedic modes of experience: waking, dream, and deep sleep. Hinduism added the *turāyam*, the stage beyond deep sleep. There were three phonemes of *om: a,u*, and *m*. Hinduism added the fourth, the sound which is not heard. So also to the three goals of man: *kāma, artha*, and *dharma, mokṣa* was added as a fourth.

The notion is first expressed verbally. One is *mucyate*: freed, released- The noun *mokṣa* comes later. A rival term is *apavarga*: removal, separation. In the Vedic-Hindu tradition we do not meet these nouns until the late Upanisads (*Śvetāśsvatara, Maitri*) and the second layer of the epic. What is more, there were orthodox schools which refused to recognize *mokṣa* for many centuries. The Mīmāṁsā denied the goal of *mokṣa* until well into the medieval period, until the eighth century with the coming of Kumārila. The central concern of the Māmāṁsā was the Vedic ritual. If they thought of what lay beyond this world, the concept of heaven was enough to satisfy their curiosity and desire.

Mokṣa means freedom, liberation. Freedom from what? From suffering, from the frustrations of desire, from change. Characteristically *mokṣa* has. been conceived as a goal, not an attitude, although there are digressions

from the main trend of Indian religious development where the latter interpretation is offered. To those who accepted the goal of *mokṣa* it was a goal beyond *dharma*. In the epic texts, however, and in most orthodox literature, *mokṣa* was not thought to be gained by any radically different means or technique from that by which one gained *dharma*. By self-discipline one attains *dharma*: a just, firm, unwavering position with regard to the world and society. By *mokṣa* one becomes even more firm. There is now no posibility of alteration. The history of Sāṁkhya is instructive in this respect. In the oldest texts the reader is urged to magnify his *sattvam* (altruism, dispassion). He should slough off his passion and folly until he is instina with *sattvam*. This is the oldest Samkhya. The *Gītā* goes a step farther. The pupil should get beyond all three strands. He must slough off even *sattvam*, for that too can bind him to worldly life. How is he to do this? The *Gītā* offers evidence enough. The method is precisely the old method of discipline; it simply goes a step further.

Now, if this harmonious concept of *mokṣa* had remained unchanged there could have been no real conflict between *dharma* and *mokṣa*. *Dharma* would still envisage society; *mokṣa* would be irrefragable. But the two could be regarded as points along a single journey, a journey for which the viaticum was discipline and self-training.

I have spoken here of *mokṣa* as it appears within the epic and other orthodox literature. There is good evidence that the concept originated in circles far removed from this area, among practitioners of trance and ecstasy, that is, among sorcerers, medicine men, and *yogis*, taking the word in its popular rather than its literary-philosophical sense. These origins are treated in some detail in van Buitenen's paper. Again, one sees within the literature, within the main traditions of Hinduism and Buddhism, that the harmony of *dharma* and *mokṣa* has been challenged more than once. Or, if I were to make use of van Buitenen's framework, I might say that more than once in the great traditions *dharma* and *mokṣa* have been pulled apart to resume their original antinomy. For purposes of simplicity, one may speak of three rypes of challenge.

First, there is the challenge of Nāgārjuna (2nd century, A.D.). Nāgārjuna points out the discrepancies between the world in which we live and the *nirvāṇa* we wish to attain. The two things are so different that there really can be no relation between them. The area of discrepancy to which

Nāgārjuna most often refers is an intellectual one. The way in which we train ourselves to think within the workaday world simply cannot help us to attain *nirvāṇa*. There is in Nāgārjuna no new, unworldly morality, no fiat from God to supersede the old categories of virtue. In fact, Nāgārjuna's school, the Śūnyavāda, was very wary of applying its dialectic against the virtues. Actually some of the most appealing expressions of Buddhist morality appear precisely within this school, as, for example, in the *Śikṣāsamuccaya* of Śānti-deva. The dialectic is directed rather against the laws of pre-*mokṣa* thought. The steady path to *mokṣa* has been broken in two, but the cleavage is not that of Philo or St. Paul: individual morality here and divine morality there The cleavage is in respect to understanding: worldly thought here and unworldly understanding there.

After Nāgārjuna's time the ideal of the steady path continued in other Indian schools. It seems to have continued in the Vedānta except for occasional doubts until the time of Śaṁkara (8th century, A.D.). Śaṁkara also broke the path in two, in a way rather different than Nāgārjuna's, but still not after the manner of Philo or St. Paul.

Śaṁkara, like Nāgārjuna, points out the discrepancy between the world in which we live and *mokṣa*, which we hope to attain. Incidentally, *mokṣa* to Śaṁkara can in no sense be called an attitude. He is very specific on this point. *Brahma* is as unalterable by our way of thinking about it as is a post. It is a goal, not something which one can do or not do, or about which one might think this way or that way.[18] To return, though: the area of discrepancy which Śaṁkara points out between this world and *brabma* includes action as well as thought; his emphasis is perhaps even more on the area of action. Everything in worldly life, in *vyavahāra*, as he calls it, implies action and plurality. One object works upon another, changes the other, is changed by the other. *Mokṣa* is a state where there can be no change, where there can be no plurality. Accordingly, *mokṣa* excludes action. This means that the techniques by which we attain the first three goals of man can be of no use in the attainment of this fourth and last goal. One must get rid not only of immorality (*adharma*) but of morality (*dharma*) also. This is the position which Bhāskara criticizes in the passages quoted at the beginning of this paper. I said that the passages bore a superficial resemblance to Plotinus' charge against the Gnostics. This is why in my opinion the similarity is superficial. Both Plotinus and Bhāskara

object that their opponents have thrown morality overboard. But the opponents have really done two quite different things. The Gnostics exchanged one set of virtues for another, an anthropocentric set for a theocentric set. Śaṁkara has thrown out the virtues without substituting virtues of any sort,[19] and he remains just as anthropocentric as the Vedanta was from the beginning.

Finally, in fairly recent times the conflict of *dharma* and *mokṣa* appears in India in something very close to its European form. Incidentally, it is my conviction that there is almost no ingredient of European religion or philosophy that is entirely absent from India and that this proposition also holds true the other way. The Vaisnavas from early times laid great emphasis on the worship of God, on singing his name, annointing his image, keeping him in mind constantly: as Rāmānuja puts it, so constantly that one comes to feel that one cannot live without this loving presence. When the priests of the Vaiṣṇava began to rationalize their religion, they accepted the orthodox texts of Vedānta but emphasized the elements in those texts that were compatible with their own religious experience. They emphasized love and adoration rather than works and knowledge. They emphasized *prasāda*, the Grace of God, rather than the anthropocentric virtues. In fact, according to the doctrine of these philosophers, one can attain to virtue only through the grace of God. Here we find almost precisely the Christian position. Accordingly, in the nineteenth century, when European Sanskritists for the most part were still Christians, it was the Vaisnava philosophers on the whole whom they preferred—so Thibaut, Grierson, Max Müller, and others.

I shall not trace the history of this third break in the steady path to *mokṣa*. The arguments were carried on by many authors whom I know only at second hand: by Vallabha, by the Gosvāmīs in Bengal, by the cat sect and the monkey sect in the extreme south. Rather, I should like to conclude with a few generalities and a caveat.

If one views the whole extent of Indian religious and philosophical literature, one sees that the conflict of *dharma* and *mokṣa* is the exception rather than the rule; furthermore, that where it has occurred it is more often than not different from the European conflict of virtue and faith. One may add that the break in the steady path in India has always been made by monks, that is, by members of a religious order who had withdrawn from

society, who withheld themselves from marriage, family, and caste duties, and so had already broken with the path of *dharma* within their own life-experience. Some of these monastic disharmonizes are important, are among the greatest thinkers and literary artists which India has produced, and their writings deserve close study. But one must be careful, and here comes my caveat, not to jump to conclusions about Indian philosophy and religion from a perusal of their works.[20]

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[1] See above, pp. 19–24.

[2] Romans 7:6.

[3] Plotinus, *Enneads*, Stephen MacKennas, trans. (New York: Pantheon Books, 1957), II.9, 15.

[4] *Gītā* 2.22 (Bhāskara, = 2.21 Śaṁkara).

[5] Bhāskara quotes the view of his opponents here almost word for word from Śaṁkara.

[6] *Gītā* 2.19 = *Gītā* 2.18 (Śaṁkara).

[7] *Gītā* 2.21 = *Gītā* 2.20 (Śaṁkara).

[8] *ītā* 2.13 = *Gītā* 2.12 (Śaṁkara).

[9] *ītā* 2.32 = *ītā* 2.31 (Śaṁkara).

[10] It might be suggested that Bhīma, Arjuna, and Yudhiṣṭhira are the types respectively of *tāmasa*, *rājasa*, and *sāttvika* man. It is true that Bhāma has a considerable infusion of *rajas* and Arjuna of *sattvam*, but the *Gītā* calls a man *rājasa* if only *rajas* predominates among his strands. This is well enough. But if we accept the typology, we must say that the hierarchy of types as it appears in the action of the epic is very different from that of the reflective chapters of the *Mahābhārata*. Arjuna. not Yudhiṣṭhira, is the hero of the epic.

[11] *Dhammapada* XII. 9; XX. 4.

[12] *Mahābhārata* (Poona ed.) 5.50.58.

[13] E.g., *Mahābhārata* 5.32.12; 6.3.44.

[14] E.g. *Mahābhārata* 1.34.3; *Rāmāyaṇa*, Bombay ed., 6. 10.23.25.

[15] *Mahābbārata* 5.130.15; cf. 12.70.25; 12.92.6.

[16] *Ibid.*, *Mahābhāruta* 12.106.20.

[17] Sec above, pp. 25–32.

[18] Cf. Śaṁkara's comments on the *Brabmasūtra* I.i.1–4.

[19] His philosophy preserves its orthodoxy and what one might call its respectability by the admission that ordinary morality is binding on those who are not yet ready for *mokṣa*. The respectable Householder may solace himself with the thought that this includes the great majority of mankind.

[20] Dr. van Buitenen and I have used an historical and textual method in papers which bear the same title. And yet we come to different conclusions. Van Buitenen finds *dharma* and *mokṣa* to be essentially incompatible goals. On the other hand, I find them to have been usually harmonized within a single religious path. In the discussion which followed our hearing of each other's papers it appeared that we were in agreement as to the following facts. The ideals of *dharma* and *mokṣa* arose in very different milieus, and these ideals produced sharp differences in the ways of life of their early adherents. *Mokṣa*, however, became "respectable" at a fairly early period, that is, it was accepted into the Vedic tradition. From this time onward the majority of Hindu society attempted to harmonize the older and younger goals. Always there were some men, and a few of them among India's greatest religious leaders, who insisted on the contradiction between *dharma* and *mokṣa*.

It would seem, therefore, that the difference between van Buitenen's paper and mine is a difference in what we select to typify a long religious tradition. He has selected the innovators, the professionals, so to speak. I have selected the great mass of believers, or, perhaps one might better say, acquiescers. Which selection is preferable depends on one's purpose. The first is useful for the history of the psychological phenomena of religion, the second for its social phenomena. The history of religion, if unqualified, should include both.

KARL H. POTTER

Dharma and Mokṣa from a Conversational Point of View

I. THE PROBLEM POSED

PHILOSOPHERS HAVE SOMETIMES spoken of "the problem of *dharma* and *mokṣa* (liberation)" but I have missed any attempt by them to formulate what that problem is. Some of us have addressed ourselves to a historical problem—how, historically, did the notion of *mokṣa* develop from a *dharma*-oriented point of view? I want here to distinguish from this historical problem a problem which I shall designate "the philosophical problem of *dharma* and *mokṣa*."

The problem can be posed by pointing out that there are two things that it has seemed appropriate to Indian philosophers of various persuasions to say, and that these two remarks are, on the face of it, incompatible. (1) It has seemed appropriate to those who accept a *mokṣa*-oriented philosophy to say that *dharma* ought to be undertaken as a means to *mokṣa*. Liberation, it is held, is the ultimate value; other values derive their status from the unconditional worth of the ultimate value. Arguments presupposing this statement or explicitly enunciating it are common from the Upaniṣads and the *Gītā* on through most classical and modern schools of Indian thought.[1] (2) However, it has also seemed appropriate to these same philosophers to say that we should perform *dharma* rather than *adharma* from duty. This remark holds true whether the *dharma* in question is the general sort of virtue recommended in the *Mānavadharmaśāstra* and in the *yama* (restraints) and *niyama* (observances) sections of the *Yoga Sūtra*, for example, or is the *svadharma* (one's own *dharma*) of a person with particular *guṇas* (personality traits) and of a particular *varna* (caste) and *āśrama* (stage of life), as in the *Gītā*, for instance.[2]

Now, these two statements do not hang together happily. In the First Section of his *Grundlagen,* Kant subjects the ordinary usage of the word "duty" to careful examination. He notes that users of the German language (and the passage translates easily enough into English) withhold the peculiarly moral response of esteem from those whom we know to have acted from inclination, reserving this response for those who are clearly acting from duty. (He might also have mentioned that we tend to reserve the peculiarly moral response of blame for those whom we know to have acted against duty, although there are, to be sure, cases when we may suspend the

attribution of blame, as when the agent was unaware of what his duty was, when matters were out of his control, etc.) He concludes that "an action done from duty … does not depend on the realization of the object of the action, but merely on the *principle of volition* by which the action has taken place, without regard to any object of desire."[3] That is to say, the mark of an action done from duty, as opposed to an action which we are inclined to perform as a means toward some end or other, lies in some intrinsic characteristic of the principle under which we act, and not in a relational characteristic involving this action and a longed-for end or aim.

If, then, a duty is an action which is good, not as means to some desired end, but, rather, good-in-itself, i.e., good by virtue of an intrinsic characteristic of its principle, it seems difficult to see how *dharma* can be done both from duty and because it is the means to the ultimate end of *mokṣa*.

The above argument may seem to depend on the authority of Kant. The point may be made independently, however, as follows. Suppose we understand how to tell what it is our duty to do, and in a certain situation we know it is our duty to do A. But suppose we also know that non-A rather than A will lead us to *mokṣa*. How do we choose what to do?—that is to say, on what principle? If we choose A, we admit that sometimes *dharma* is to be undertaken not because it is a means to *mokṣa*—and then we have to specify which times are which, etc., and at any rate have controverted (1). On the other hand, if we choose non-A, which is abharmic and contrary to our duty according to (2), it turns out that we have acted contrary to *dharma* in order to attain *mokṣa,* and this once again controverts the first statement. The only way out of this seems to be to deny that this could ever happen, that is, that an act could be our duty and not lead us to *mokṣa*. However, there is reason to think that the Indians hold that this sometimes happens, e.g., when we are told that for the true *yogi* the duty of studying and abiding by Vedic precepts does not apply.[4]

One might propose to escape this dilemma, as far as Indian thought is concerned, by denying that the Indians actually hold that *dharma* is that which we ought to perform from duty. "Duty," one might say, "is a peculiarly Western notion, not applicable to Indian thought. Our problem is a result of mistranslaton." However, the understanding of the most careful Sanskrit scholarship seems to run counter to this. Not only, for instance,

does Franklin Edgerton in his translation of the *Gītā* connect the notion of *dharma* with duty; he translates the one word by the other. In addition, one can trace occurrences of the word *"dharma"* in the Upanisads which indicate the connection of the concept with notions of "lawfulness."[5]

Perhaps we can reject, then, the other horn of the dilemma; can we not deny that the Indians say that *dharma* is a means to *mokṣa?* What does it mean to say that something is a "means" to something else? "One means of getting the job done would be to jimmy the window." "In order to gain that end, we must have the means to buy this business, namely, money." A means to a given end is a part of the causal sequence which leads to that end—it may be a necessary condition for the end (as in the latter case), or perhaps merely part of a sufficient condition (as in the former). Now, Patañjali, Śaṁkara, and numerous other Indian authors regularly mention the performance of *dharma* as one of the factors which make a man eligible for *mokṣa,* and surely they mean that the performance of *dharma* is part of a causal sequence leading eventually to *mokṣa*. To be sure, Indian philosophers do not always want to say that *dharma* is a necessary condition for *mokṣa,* but that in no way commits them to denying that it is a means, for we use the word "means" not only for necessary conditions but for any part of a causal chain leading to an end.

Indian philosophers of varying persuasions are insistent on being able to say both that *dharma* is our duty and that it is a means to *mokṣa*. The problem of *dharma* and *mokṣa* is the problem of providing a framework within which Indian philosophers can consistently say both these things without doing violence to the other tenets of their tradition and their systems. To provide the outlines of such a framework is the task of this paper.

II. LOGICAL AND CONVERSATIONAL ODDITY

In this recent book *Ethics,* P. H. Nowell-Smith introduces three criteria for the appropriateness of a given utterance in ordinary usage. An utterance which does not meet one or more of these criteria, he proposes, should be called "logically odd." Here I am interested in only one of the three, the criterion of the relevance of an utterance to the explicit or implicit question being asked, i.e., to the problem at hand.[6] This asks us to examine critically the appropriateness of answers given to questions in conversational contexts. Nowell-Smith supposes that a valid reason for rejecting an utterance is that it is irrelevant in the context in which it is employed. Furthermore, it is evident that the context is determined, in part at least, by the presuppositions of the party who asked the question or to whom one is speaking. To give an example (courtesy of Wilfred Sellars)[7]: if Tom says to Dick, "Harry has stopped beating his grandmother," it is logically odd, in Nowell-Smith's sense, for Dick to say, "That's not so," unless he presupposes that Harry once beat his grandmother. Tom's utterance, if uttered seriously, clearly presupposes this, and, if Dick does not share this presupposition, his proper reply is not "That's not so," but, rather, "Wait a minute, Harry never beat his grandmother."

Now, it seems unfortunate to call this criterion of relevance "logical" oddity. In the course of his article "Presupposing," in which Sellars offers the above example, he is concerned to argue precisely that, although it may be a mistake to *say* that a given utterance (e.g., Tom's utterance above) is false, it by no means follows that the utterance is not in reality false. Or, to put it another way, an utterance may be logically false, although conversationally it may be a mistake to say that it is. I suggest that we dispense with Nowell-Smith's term "logical oddity," using instead the term "conversational oddity." An utterance is conversationally odd in a context when the presuppositions of the speaker differ from the presuppositions of the person spoken to. But the conversational status (odd or not) of an utterance is distinct from its logical status—e.g., whether it is true or false, what it entails, etc.

We also need an expression for the opposite of "conversationally odd." I shall adopt the expression "conversationally normal" for this. An utterance is conversationally normal in context when there is no relevant discrepancy between the presuppositions of the speaker and those of the hearer. For the moment, I shall assume that the notion of "lack of discrepancy" or "difference" of presuppositions does not need a great deal of elucidation—it comes in terms of what the discussants believe and do not believe. There are important distinctions to be made here, but I do not go into detail because, as we shall immediately see, I am not specifically interested in the notions of conversational normality and oddity as defined above but in a certain extension of these concepts.

III. AN EXTENSION OF CONVERSATIONAL ODDITY

Conversational oddity has been explained so far in terms of lack of agreement of presuppositions. I now want to suggest that, so explained, it is only part of a wider concept of conversational oddity which involves discrepancy, not only between beliefs or presuppositions, but also between attitudes or predispositions. It seems just as correct to say that an utterance is conversationally odd when the predispositions of the speaker differ from those the hearer expects as it is to say that it is odd when their beliefs differ. Indeed, the discrepancy in belief may easily be dependent upon discrepancy in attitude, although this is not always or necessarily the case. Nevertheless, whether it is the case or not, it would seem that the attribution of a non-logical sort of oddity in cases of discrepancy of attitude is just as reasonable as it is in the case of discrepancy of belief. Examples are easy to find: for one, take the case of Jones, who is predisposed to enjoy Bach, speaking to Smith, who sees nothing in music composed before 1800. It would be not logically but nevertheless conversationally odd for Jones, in a discussion on the relative enjoyability of a Bach fugue and a John Philip Sousa march, to remark, "But of course Bach was a musical genius, unlike Sousa." His statement may well be true, but it is not to the point in the context, since it assumes that Smith is predisposed to enjoy classical music regardless of period and style, an assumption which is not warranted in this case. Notice particularly that Smith might even agree with Jones about the truth-value of the statement "Bach was a musical genius, unlike Sousa" (supposing it has a truth-value); still the remark would be conversationally odd since it was intended to function in a certain context of attitudes, and the context is not of that kind.

The above is an aesthetic example, but it would be a mistake to suppose that the point holds only for normative utterances. An equally cogent case would be Jones, who has normal vision, speaking to Smith, who is colorblind. If there are two tables in the room, one red and the other green, and Smith cannot tell the difference between red and green, it would be conversationally, but not logically, odd for Jones to say to Smith, "You may use the red table to write your paper on." This example suggests an

additional point of interest, namely, that it should not be supposed that the ascription of conversational oddity to an utterance is allowable only when the speaker is aware of the discrepancy in attitude between himself and his addressee. Here Jones may be quite unaware that Smith is color-blind, but we who are aware of all the facts would unhesitatingly call his remark conversationally odd; it fails to fit the context. The example also shows that not only statements may be properly classified as conversationally odd, but also utterances of other grammatical form and logical functions as well.

IV. CONVERSATIONAL ODDITY IN DIRECTIVE DISCOURSE

The function of language which we must concentrate on in discussing the classics of Indian philosophy is primarily the directive function. Many of the utterances in the Upaniṣads, the *Bhagavadgītā*, the *Mānavadbarmaśātra*, the *Dhammapada*, etc., have as their function, either solely or primarily, the directing of the reader or listener toward self-perfection or -fulfilment, whether such fulfilment is conceived as *dharma*, *mokṣa*, or *nirvāṇa*. Our problem is, first, to understand the functioning of certain of these utterances, the ones which advise us to perform certain actions from duty or as a means to *mokṣa*. But in order to do this we must know what are the conditions of conversational normality which pertain to directive discourse.

So far, in characterizing conversational oddity we have spoken easily of "discrepancy of attitude or belief," as if we understood well enough what we meant. But do we? An utterance is conversationally odd, we said, if in a given context there is relevant discrepancy of attitude or belief between the speaker and the hearer. But what is to count as a relevant discrepancy of attitude or belief? Can we provide a general criterion for discrepancy of attitude? Or even of belief? These are large questions. I want to keep our attention focused on the particular matter of directive discourse; perhaps conclusions we arrive at there will prove generalizable, perhaps not. At any rate, let us ask this question: How can we, insofar as an utterance is intended direaively, decide whether there is a relevant discrepancy of attitude or belief between speaker and hearer?

Let us suppose Jones and Smith are in a room with an open window through which a breeze is blowing. Jones says to Smith, "That's a mighty chilly breeze," with the directive intent of getting Smith to close the window. Now, it is evidently irrelevant to this directive intent, that Smith likes bananas, to name an attitude at random, but it is relevant what attitude he has toward this particular breeze or what attitude he has toward Jones in regard to accommodating his wishes. In fact, his general mood may be relevant—if he is in a black mood, he will likely say, "So? Shut it yourself" or something to that effect, whereas if he is in a pleasant mood he may very

well do just what Jones wishes. So the attitudes whose discrepancy implies conversational oddity are just those attitudes the presence or absence of which affect the speaker's accomplishing the purpose he has in mind by uttering the sentences in question. They are the attitudes in the hearer which the speaker would wish to ascertain the presence of beforehand, supposing that it matters a good deal what response the hearer does make. In fact, they are the attitudes the knowledge of which constitutes "one-upsmanship," which, as has recently been pointed out, is a sort of archetypal virtue in India, the outstanding characteristic of the Indian hero.[8]

Conversational oddity, at least in directive situations, thus is found to be ignorance or miscalculation of the reader's or hearer's orientation or predispositions in a given respect. The discrepancy previously referred to is a discrepancy between the attitude A believes B to have and the attitude B actually does have. A conversationally odd utterance is one which is thought by the speaker to have point but which in fact has none because the hearer does not have the attitude which the speaker thinks he has. That is to say, the discrepancy in question is between the predisposition of B, the hearer, and the presupposition of A, the speaker, about B's predispositions. The expression "discrepancy of attitudes" therefore should not mislead us into thinking that A and B must share the relevant attitudes—i.e., both be predisposed to act the same way—in order for A's utterances to B to be conversationally normal.

These considerations become crucial when considering the particular variety of directive discourse which consists of teaching or instruction (*upadeśa*). Characteristically, in the teaching situation the teacher and pupil do not share the same predispositions. Yet it is vital that the teacher correctly understand his pupil's predispositions in order that he may address him without falling into conversational oddity. It is especially vital because, unlike the open-window situation discussed above, in the teaching situation the teacher accomplishes nothing if the hearer fails to respond. Whereas, if Jones' remark to Smith is conversationally odd, and Smith makes no move to shut the window, Jones could of course get up and shut it himself, the teacher has no such alternative. If the pupil fails to respond to a given bit of direction, there is nothing for the teacher to do but try another. Thus the teacher who is worth his salt must be a competent "one-upsman"; he must have a comprehensive knowledge of the sorts of predispositions his

students come to him with, and he must know how to use language to marshal those attitudes toward the desired result The comparison with "one-upsmanship" is no joke in India; the reverence paid to a competent *guru* is comparable to and may even surpass the homage paid to a great hero, and I suggest that this is so because the talents of the two are conceived analogously.

V. CLASSICAL INDIAN CATEGORIES OF ATTITUDES

The importance of certain basic traditional concepts may now be traced to their function as categories of predisposition which one is likely as a teacher to meet in one's pupils. One avoids conversational oddity by learning to recognize these categories of attitudes when they are present and discovering what sorts of remarks are appropriate to hearers of certain sorts. The philosophical importance of the *varṇa* categories has its source here— under the notions of *brāhmin* (priest-teacher), *kṣatriya* (warrior or leader), *vaiśya* (merchant), *śūdra* (laborer), and outcasts are comprehended and ordered all one's experiences in the daily round of activities with persons from these classes, and by something like the inductive method one arrives at the realization that one cannot expect of a *śūdra* the same responses one can expect of a *brāhmin*.

The same may be said for the well-known classifications of *āśramas* and *guṇas*. I pass over these, however, since the concepts we are here concerned with belong in still another such set, the notions of the *arthas* (values of life).

If space permitted, I would argue for the importance of construing the terms *artha, kāma, dharma*, and *mokṣa* as level-concepts involving challenges within challenges. Here, however, our concern is for the moment rather with their function as categories of predispositions. One use of these terms is to distinguish general aims or orientations in life, so that one who addresses a person who has realized mastery of *artha* (material welfare) and *kāma* (pleasure) and is striving to realize *dharma* will speak in a different way from one who is addressing a person who has realized *dharma* and is seeking *mokṣa*. The terms lack, as must be expected, any precision, but consider analogous usages in our language of such terms as "intellectual," and "mystic." One aspect of the *artha*-terminology, like the terms just quoted, is their use as personality-characterizing categories. They characterize personalities in terms of the predispositions which can be expeaed from the individuals who have realized the particular orientations named.

Though these terms are category terms, the list of predispositions falling within each category varies from age to age, school to school, and writer to writer. It would be futile to look for an explicit definition of *dharma* or *mokṣa,* and texts which seem to offer such definitions are best construed, I suspect, as persuasive in intent. Nevertheless, the categories, in all their vagueness, are crucial for Indian philosophy.

VI. CONVERSATIONAL CONSIDERATIONS IN INTERPRETING TEXTS

If I am right so far, certain things of practical importance to students of Indian philosophy follow. First, any serious attempt to understand and interpret Indian thought must itself presuppose a framework of relevant personality- or predisposition-categories, and the better worked out such a framework is the better.

Such a framework must be derived, of course, from one's first understanding of Indian texts, but its accuracy and adequacy can be tested by its application to further texts, and in due time it may grow into a full-fledged philosophical-scholarly tool. To give an example of what I mean in this, let us revert to a criticism raised by George Burch.[9]

Burch points out that in the *Gītā* "Arjuna was torn between two concepts of *dharma,* and the Lord persuaded him to reject one because the war was only illusory, so that nobody was really slaying or slain, but I should suppose," he adds, "that the pacifist conclusion might have been equally well supported by pointing out that he was not really a Kshatriya." On this basis Burch dubs Kṛṣṇa's remarks "hopelessly illogical."

It seems to me this way of handling matters points up the different emphasis of the Indian philosopher as contrasted with the Western ideal of the philosopher as truth-seeker. The very way in which Burch puts his point tells us quite clearly that he conceives of Kṛṣṇa's speeches as arguments against a position called "pacifism," and that pacifism consists in a certain set of beliefs which one may reasonably either accept or reject depending on the logical force of arguments for and against the position. Taking Kṛṣṇa's remarks as so intended, it is perfectly true that Kṛṣṇa's remarks have no logicality about them. But it should be evident to any sympathetic reader of the *Gītā* that Kṛṣṇa does not intend his remarks as reasons logically supporting a doctrine, but as practical advice offered to a man in a difficult situation. And the real question is not whether or not Kṛṣṇa's remarks logically bolster pacifism, but whether his advice is practically relevent to

Arjuna's problem. In other words, the considerations which are in point here are not logical but conversational.

Burch, speaking for Advaita Vedānta, sees the *Gītā* type of situation—as he interprets it—as involving some intricate logic "requiring alternate acceptance of the transcendental and phenomenal standpoints," and adds that "the classical literature does not always clarify it." I do not believe that classical literature was intended to clarify it, for the situation is not one involving logic at all—except in that attenuated sense of "logic" in vogue at Oxford and Cambridge, as, for instance, we have seen Nowell-Smith using it.

The reason Kṛṣṇa advises Arjuna to fight is not because he is anti-pacifist, nor is it because "nobody is really slaying or slain." The reason consists in Kṛṣṇa's appreciation of the tensions of Arjuna's situation and his understanding of what is and what is not conversationally normal to say in it, given his divine intent of improving Arjuna's personality. Arjuna begins, in the poem, as a hero who is obviously capable of living up to the requirements of a *kṣatriya* but who has understandably enough forgotten *svadharma* under the stress of a trying emotional prospect. Kṛṣṇa, perceiving this and committed to guiding his pupil toward self-improvement, begins by merely reminding Arjuna of his duty as a *kṣatriya*. There is the added difficulty, too, that Arjuna for the moment conceives the call of family and friends as equal in force to the call of *svadharma*. How can Kṛṣṇa combat this? By presenting arguments, to be sure, arguments which persuade Arjuna to elevate *svadharma* above his other interests. The arguments need not be, nor are they intended to be, logically impeccable. Kṛṣṇa may well use the same argument about nobody's being slain or slaying to a different person in a different context to convince that other person to elevate *mokṣa* above *svadharma*. But Arjuna is who he is, and not another person, and the remarks under discussion appear to Arjuna, and are calculated to appear to him, as reasons for doing his duty as a *kṣatriya*. In this context it would be conversationally odd for Kṛṣṇa to use those words with any other intent. Interestingly, it would be "religiously odd," too, for to have done so would shed doubt on Kṛṣṇa's perfect understanding of Arjuna's predicament. Generally, I wonder if religious categories are not connected in important ways with conversational rather than logical categories…. But that is a matter for speculation elsewhere.

VII. SOLUTION OF OUR PROBLEM

From the above I hope it will be apparent how conversational oddity and normality can serve as interpretative tools for the understanding of Indian texts. However, we began this inquiry with a specific problem in mind, and that was—how can we make sense of the Indian's wanting to say that *dharma* is to be done both from duty and as a means to *mokṣa?* I believe we now have a way of seeing how this can be.

Note that I have carefully formulated the problem always as a question as to how some philosophers can *say* certain things. I have not so far raised the question: Are the conceptions of *dharma* as end-in-itself and *dharma* as means-to-*mokṣa* really incompatible? We shall reserve this latter question for the concluding section; first let us deal with the originally formulated problem.

The lines on which I shall build my answer should now be evident. In India, philosophy is more often than not directive discourse, addressed to particular personalities or types of personalities with the intent of improving them. Whether we approve of meddling with other people's personalities or not, it cannot be doubted that that is often the aim of the Indian philosopher. I have indicated how, in a general way, conversational oddity and normality play a crucial part in deciding the appropriateness of a directive utterance. The same holds in particular for many philosophical utterances, including statements about *dharma* and *mokṣa*.

Let us revert to the two seemingly imcompatible statements which give us our problem: (1) "*Dharma* is to be undertaken as an end-in-itself, from duty," and (2) "*Dharma* is to be undertaken as a means to *mokṣa*." Let us imagine the kinds of contexts in which it would be appropriate to say these things. We might, previous to the foregoing discussion, have been tempted to say that they are statements which are appropriate in exactly the same kind of context, namely, in that situation where someone is asking the question, "Why should I undertake *dharma?*" But we have said that from the point of view of conversational considerations situations are not properly specified until the relevent predispositions and presuppositions of the person being addressed are indicated, and that there is a variety of importantly distinct situations in which the question, "Why should I

undertake *dharma?*" might be asked. Whether (1) or (2) is the conversationally normal answer (given the intention of the person being questioned as fixed) depends on the orientation of the person asking the question. (I am supposing that the intention of the person uttering (1) or (2) is the improvement of the addressee.) If he is oriented toward, i.e., if he places ultimate value on, gaining *mokṣa,* then (2) is a conversationally normal reply. If, however, the person asking the question sees nothing worth while in *mokṣa* for any one of a number of reasons (ignorance, perversity, etc.), then it is not to the point (i.e., it is conversationally odd) to recommend *dharma* to him in terms of *mokṣa,* while it may (though it need not be) to the point to recommend it to him as his duty.

This shows us why it will be appropriate sometimes to say (1) and sometimes to say (2). In addition, we might add, it may also be appropriate sometimes to say both (1) and (2); and quite often neither (1) nor (2) will be appropriate. There are any number of other things one might say to the same question depending on the relevant idiosyncrasies of the questioner's personality. Not all of those things would be "about" *dharma*, but many of them would be, as (1), (2), both-(1)-and-(2) and neither-(l)-nor-(2) are.

VIII. FROM THE CONVERSATIONAL TO THE LOGICAL

There is, it would seem from the above, a perfectly understandable sense in which *dharma* is both good-in-itself and good as mezns-to-*mokṣa*. But the critical reader will suspect by now that a trick is being played on him. "Surely," he will inquire, "you do not mean to tell me that one and the same thing or notion can have self-contradictory qualities at the same time. I understand that the conversational requirements of situations may require a man of good will on occasion to say things which are false, but let's be clear that they are false. And surely, philosophy's business is to separate the true statements from the false ones, and not merely to point out the conversational requirements of situations." Specifically, he will argue, if what we are committed to in saying what we have said is that *dharma* is good as means and not good as means, then either (a) or (b) is false, whatever the reasons may be for saying them.

Let us, for clarity's sake, transfer the example into the realm of epistemology. We have seen that, while it is conversationally normal to tell the man with ordinary vision to write his paper at the red desk, it is not conversationally normal to tell the color-blind man to do so. What would be conversationally normal in that case would be to tell him, we shall suppose, to write his paper at the gray desk. But does that allow us to infer that the same desk is both green and gray all over? "Never," says our objector, and it is tempting to follow him. Surely, we will hold, the desk is really green and not gray, for, we might reason, it follows logically from "x is gray" that "x is not green (or any other color than gray)," and thus to say that the desk is green and gray is to say in effect that it is green and not-green at the same time, in the same place and … and in the same … respect …? No. The respects are different, the respects, namely, of the persons doing the perceiving. So, to say that the desk is gray and green all over is not to involve us in a strict logical contradiction—nor even to say that it is green and not-green all over.

Nevertheless, there is a sense of "really," the objector may continue, in which the desk is really green. That sense is this: of two percipients, if one's perceptual apparatus is capable of greater discriminations than the other's,

then the perceptions of the first determine what the object's characteristics really are. This seems a sensible prescription for the use of the word "really," although it must be noted that it is hard to see that ordinary usage gives any more weight to this way of using the term than several others.

If we put the new move back into our Indian framework, we get this: in the now-specified sense of the word "really," things are "really" as they look from the point of view of the person in *mokṣa,* for *mokṣa* is often defined as the capacity for perfect discrimination (*viveka*).

Attractive though this perception about reality may be, it has its drawbacks. The main one, from the Indian point of view, is that reality so defined is useless for the practical purposes of gaining *mokṣa,* for, just as it would be useless for us to tell the color-blind man to write at the green table, so it would be futile for a well-intentioned *mukta* (a liberated person) to advise a pupil using the terminology of reality. The pupil would not understand. And this, if we are to be true to the Indian way of thinking, is what we must say to our logically minded objector. We must point out to him that it is in principle admirable to want to distinguish between true statements—that is to say, statements true from the point of view of the maximally discriminative—and false ones—statements false on the same prescription—but only admirable in principle. In practice, with regard to the contexts with which the Indian thinkers are intimately concerned, namely, those of personality-improvement, to resolve only to tell the truth so understood will be to fail one's mission as moral adviser.

This tension between dialectical and logical considerations is the center of the metaphysical and epistemological speculations of systematic Indian philosophy. What are given are the conversational necessities of instruction —this is the practical function of philosophical discourse. But how, if at all, can we systematize this into an account of reality? Must we not set up, arbitrarily but for a purpose, criteria for an account of reality and square the resulting account with what it is conversationally normal to say?

Our objector remarked above that philosophy's business is to separate true statements from false ones. It can seriously be questioned whether this is the proper way of interpreting the Indian's stake in philosophizing. We might in this regard remember the ancient practice, hinted at above and exemplified in certain Pali scriptures, for instance, of asking, not is it true or

is it false?, but rather is it true, false, both, or neither? This reflects, I believe, a prior commitment to conversational considerations. From the point of view of what it is appropriate to *say,* it may well be appropriate, if asked whether the desk is green or not, to say that it is both green and not-green. This will be an appropriate thing to say if one is being asked not for practical advice but, rather, for a theoretically adequate summation of all conversationally normally assignable predicates. On the other hand, it would not be in order to say that the desk is both round and square, not, however, because "round square" is a logical contradiction, but because it is unlikely that there are two statements satisfying the requirements of conversational normality one of which ascribes roundness to the desk and the other squareness. The fourfold scheme is more suited to the conversational or practical mode of speaking than the two-valued scheme we customarily use. And to take it as self-evident that the latter has some intrinsic claim to providing the framework appropriate to "reality" is to be philosophically provincial or to subscribe to a faulty semantics.

In the same way, in a fourfold scheme, or at any rate in a scheme suited to summation of conversationally assignable predicates, it is entirely appropriate to say that *dharma* is both good-in-itself and good as means-to-*mokṣa*. And this may well stand as an account of "reality," unless one can find some reason to think some other scheme should be given priority. Various philosophical schools do indeed follow other schemes, and then they are faced with the problem of squaring their scheme with the facts of discourse. These other schemes I have called "logical" as opposed to "conversational." Let me conclude by trying to formulate the distinction with more precision.

A conversational scheme is one which allows us to summarize, without distortion, all the things which can be, without conversational oddity, said about a given object of discourse. The natural rule for this would be something like the following: to say that x (conversationally-really) has property f is to say that there is a situation (i.e., a context including a person of such-and-such traits) in which it is conversationally normal to say "x is f." Obviously, greater precision is still needed—an account of conversational oddity and normality is required. This, as noted above, may be possible only for specific kinds of situations—a general formulation may

not be possible. Still, it is hoped the foregoing account of directive contexts will have been suggestive.

A logical scheme, on the other hand, is a scheme which, for some purpose or other, abstracts from the conversational scheme, i.e., superimposes on the conversational scheme described above further requirements, redefining "reality" in terms of limitations of one sort or another of the conversational framework. There are any number of indefinite ways of doing this, and indefinite numbers of purposes one might take an interest in. For example, to limit the kinds of situations which are relevant to the logical account of reality to those situations where language is used in such and such a way (say, declaratively) would be one kind of limitation. Another, the way we discussed a moment ago, would be to limit the truth-values of well-formed statements to some particular number, say, two, as is common.

My purpose here is not to bring into doubt any particular logical scheme, but, rather, to urge that the function of any logical scheme is to abstract in one way or another from what it follows is a more basic scheme, the conversational one or ones. The most interesting problems begin when some logical abstraction is proposed. But it is tempting to go further than this and say, as our objector did a bit back, that reflecting on conversational matters is not philosophy at all. Or, alternatively, it is tempting to do what I feel Burch represents Advaitins as doing, namely, confusing logical with conversational considerations and assuming that the very understanding of *Gītā*-like situations involves understanding some difficult and tortuous logical scheme. In this direction lies unbounded philosophical confusion. We ought to make clear first what are the conversational considerations relevant to the uses of language we are concerned with before we propose logical schemes and systems of philosophy. This is the basic principle of a sound method, a clear and, unfortunately, novel approach to philosophy in general and Indian philosophy in particular.

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[1] *Bhāgavadgītā* III. 8, *"niyatam kuru karma tvam…."* (in answer to Arjuna's question about how to achieve *mokṣa*). *Mānavadharmaśāstra* XII. 83. In *Yoga Sūtra* II. 28 ff. the *yamas* and the *niyamas* are referred to as the "limbs" or "parts" (*aṅga*) of *yoga*. On the notion of "means" employed in this paper, see below.

[2] *Bhāgavadgītā* II. 31, *"dharmyāddhi yuddhācchreyo 'nyat kṣātriyasya na vidyate."* Also II. 47 — *"karmany eva 'dhikāras te ma phaleṣu kadācana."*

[3] Immanuel Kant, *Fundamental Principles of the Metaphysic of Morals,* T.K. Abbott, trans., (New York: Liberal Arts Press, Inc. 1949), p. 16.

[4] *Bhāgavadgītā* II, 46.

[5] *Bṛhadāraṇyaka Upaniṣad* I. iv. 14 and Śaṁkara's commentary thereon.

[6] Patrick Nowell-Smith, *Ethics* (Baltimore, Md.: Penquin Books Inc., 1954), p. 82.

[7] Wilfrid Sellars, "Presupposing," *Philosophical Review,* LXIII, No. 2, (April, 1954), 204–205. Also Sellars in Symposium on "Logical Subjects and Physical Objects," *Philosophy and Phenomenological Research,* XVII, No. 4 (June, 1957), 405.

[8] Cf. the introduction to a new volume of story selections from India sources, edited by G.V. Bobrinskoy and J.A.B. Van Buitenen, to be published shortly by the University of Chicago Press.

[9] In an unpublished paper presented at a small conference at which the present paper was read. Cf. also Paul Weiss, "The Gītā: East and West," in *Philosophy East and West,* IV, No. 3 (October, 1954), 253–258.

THE CONCEPT OF MOKṢA

The objective of this paper is not to make a historical study of the Indian theories of mokṣa. I intend neither to trace the historical development of these theories, nor to make any exploration in order to discover some hitherto unknown truth about any one of them. It is also not my objective to examine the validity of the claim (or the counter-claim) that mokṣa is (or is not) the highest of all human ends. Rather, I intend to do a conceptual study, a conceptual mapping, with a view to determine the logical status of the *concept* of mokṣa vis-a-vis some other related Indian value-concepts. Such a study, I hope, will increase our understanding of the role Indian philosophers *wish* the concept to play, and also enable us to see whether or not it is competent to play that role.

The concept of mokṣa is one of the central concepts of Indian philosophy, and it is central not only to the various philosophies of (ancient) India, but also to its theology and culture. It is almost always the case that a concept of this type plays, or is at least claimed to play, more than one role in the system of thought to which it belongs. In fact, several types of roles, metaphysical, ethical, religious and logical, have been assigned to the concept of mokṣa. But in this paper I am interested only in what seems to me the chief *logical* role that it is required, or at least expected, to play. In my opinion it is the expectation that it and it alone can play this role which is at least one of the primary reasons for the importance given to it in Indian philosophy. Further, what is going to be presented here is claimed to be only *an* analysis, of course one which seems to me plausible, and not *the* analysis, of the (logical) role of the concept. In case the present analysis does not seem to the historian of Indian philosophy a completely faithful characterization of what in philosophical usage the concept *actually* does or its users *intend* it to do, I would not cross swords with him. To answer him I should have to raise and answer such larger philosophical questions as how an analysis can be justified and in what way its faithfulness to actual philosophical practice can be measured. But they cannot be dealt with in the present paper because of its very limited objective. I would only say here that, even if no existing theory attributes to the concept what the present

analysis considers to be its chief role in the Indian philosophy of values, the role attributed to it here does constitute a *possible* philosophical position which deserves consideration on its own merit. Further, as my objective is not historical reporting but conceptual clarification – when a very small amount of conceptual study of any one of the basic concepts of Indian Philosophy has so far been done – some amount of reconstruction is inevitable, specially because the concept to be studied here is one which pervades Indian life and philosophy more like an unquestioned article of faith than a logically reasoned and analytically defended principle.

Most of the works on ancient Indian philosophy emphasize its (so-called) practical character. Rather, it has been declared to be its basic and distinctive feature which exercises a determining influence on its other features and distinguishes it from Western philosophy. Even the present writer once (mistakenly) maintained that what distinguished Indian from Western philosophy was the fact that the former originated in the desire to achieve self-realization (mumukṣa) and therefore had as its objective the achievement of self-realization (mokṣa-prapti) whereas the latter originated in curiosity, the desire to know what was the truth, and therefore its objective was knowledge. The majority of writers on Indian philosophy has held similar views. Rather, some Indian writers consider the (alleged) characteristic (of being practical) a sufficient reason for claiming the overall superiority of Indian philosophy over Western philosophy. Their argument runs as follows: The goal of Western philosophy is the acquisition of knowledge, whereas acquisition of knowledge, for Indian philosophy, is only a means to self-realization (mokṣa). That is, Indian philosophy goes much farther or deeper than Western philosophy, it begins where the latter ends.

The above view is based on a number of assumptions, e.g., (1) that self-realization is *the* proper or real goal of philosophy, (2) that knowledge can be and is a means to self-realization, (3) that it is more competent than knowledge to be a philosophic goal, (4) that the self-realization talked about in Indian philosophy is better or more genuine than that to which one may find reference in Western philosophy, etc., etc. I am not going to question or examine here any one of these assumptions; I would only point out that the truth of none of them is obvious.

It is my feeling that the emphasis on the practical character of Indian philosophy has been overdone and it has caused more harm than good to its proper study. It has been very greatly responsible for not letting people pay adequate attention to the really philosophical, in the current sense of the term, issues – logical, epistemological, ethical, semantical, even metaphysical, etc., – which were very thoroughly discussed by ancient Indian philosophers. It has also resulted in the impression in the minds of many that Indian philosophy is philosophy in a sense different from the one in which Western philosophy is philosophy. This is noticeable from the fact that most of the Western scholars who have taken interest in Indian philosophy are not professional philosophers but orientalists or theologians.

I am not saying that ancient Indian philosophy is not practical at all. Any normative study of values is bound to be concerned with what men ought and ought not to do. Whether one presents a philosophy of action according to which pleasure is the highest value, or one according to which self-realization is the highest value, it makes no difference to the practical character of the two philosophies insofar as both present an ideal which, according to them, ought to be cherished. Rather the practical nature of a normative enquiry is the feature which distinguishes it from a nonnormative study (even of values). Values and valuation can also be studied in a descriptive manner, as is done by some social sciences, or in an analytical (nonnormative) manner, as is done by some logicians and analytical philosophers. Philosophy of values constitutes a very important part of ancient Indian philosophy, and it contains both normative and analytical studies of values. But its analytical studies, like the analyses of moral judgment, yet remain to be unearthed and brought to light.

A philosophy of values, to be a philosophy and not just a collection of prescriptions, has to be a theoretically organized system, as well organized as the subject matter permits. Therefore, theoretical considerations do enter into the construction of any value-system. This is true of Indian philosophy as of all other philosophies. The theoretical side of the Indian philosophy of values, however, could not exhibit itself as prominently as it should have because of the close association between Indian philosophy and religion. The aim of religion is to *make* or help its followers *do* or *be*, what according to it, they ought to do or ought to be. It is inherent in its very nature to be concerned with practice. Religious theory comes in only to defend or

provide a rationale for the prescribed (religious) practice. The primary function of religion is to determine the ultimate end (or ends) of life and prescribe the method (or methods) of attaining it. Because of its intimate relationship with religion, it is tempting for an interpreter of Indian philosophy to infer that its heart lies in that part of it which is concerned with the end (or ends) of life. And, as the religious end is always spiritual, in some sense of the term, it is only a short step to conclude that the aim of Indian philosophy qua philosophy is also the achievement of spiritual perfection. The natural corollary to it is the commonly held (though certainly wrong) view that according to the Indian conception philosophical theory is of any value only to the extent it is subservient to the achievement of the spiritual end. It is not only tempting to do all this, but the majority of writers on Indian philosophy has succumbed to this temptation.

It is regrettable that most interpreters of Indian philosophy have failed, in their studies of it, to disentangle genuinely philosophical from religious discussions. The part of Indian philosophy that is most affected by this failure is its value-theory. The result is that the theoretical motivation and content of the latter do not get their proper recognition. The primary objective of this paper is to draw attention to one such very important *theoretical* aspect of the theory. More specifically, I wish to contend that there is a very important theoretical reason for the introduction of the concept of mokṣa, which stands for the highest value according to most of the Indian schools of philosophy, into the scheme of values, though, I shall further argue that the concept cannot perform the (theoretical) function to perform which it was introduced. The reason for its failure is very deep-seated.

It has become almost a philosophical commonplace to present the fourfold classification of puruṣārthas (human ends) into artha (wealth), kārna (pleasure), dharma (moral and religious virtue) and mokṣa (self-realization) as the ancient Indian classification of values.[1] This classification is acceptable to the majority of the Indian systems, and there is no other classification of values which ever gained even a portion of the respectability which the former has acquired in the philosophical, literary, cultural, and religious traditions of the country. The sanskrit word 'puruṣārtha' means 'what is sought by man.'[2] Another sanskrit word for value is 'ista' which also means 'that which is desired'[3] One may, therefore,

be led to think that the above classification is of the things which human beings *do* seek and not of the things they *ought* to seek. This will not be a fair interpretation but it must also be admitted that it is not a very neat classification done exclusively from the normative point of view because it does to some extent mix up things actually desired with things which ought to be desired. 'Is sought' and 'ought to be sought' stand for logically different notions. Therefore, what is in fact sought *may* also be that which ought to be sought, but the coincidence between the two, if it exists any time, will be there as a matter of fact and not as a matter of logic.

Of the four values, artha and kārna are *in fact* sought by men. One may say that they also ought to be sought and therefore are included in the above fourfold classification. But treating them as ends which *ought* to be pursued seems to be contrary to the general spirit of Indian systems (of course, excepting the Cārvāka). This is true quite obviously of artha and also, though not so obviously, of kārna. If something is regarded as that which ought to be sought, then its acquisition will be a necessary constituent of perfection, whatever that may mean; i.e., if a person has not acquired it, even though he has acquired all the other values, he cannot be said to have reached the state of perfection. It is quite obvious that, according to the Indian conception, nonseeking or nonacquisition either of artha or kārna will not constitute any lack in the perfect life. Rather, some thinkers would admire the man who can do without them.

However, there seems to be another way of defending the normativity of the classification. Artha is sought both as a means and as an end, but, one can argue, it ought to be sought only as a means to kārna and never as an end in itself. Similarly, kārna is also actually sought by man, but one can argue here that it ought to be sought only if it is in conformity with dharma. This seems to be the reasoning behind the inclusion of the two in the list, and therefore one can use it to prove that the list is a list of things which ought to be sought. But here two different principles have been referred to. Artha is there because it is an instrumental value, but kārna is there not for the same reason because it is not an instrumental value. That is, man is not required to pursue it as a means because it is not a means to dharma as artha is to it. But he is required to *subjugate* it to dharma. Dharma is treated (not as the end but) as the justifying principle of kārna. Only that kārna ought to be sought which is approved or sanctioned by dharma.[4] This does not

however mean that if a pleasure is approved by dharma, then it ought to be sought, i.e., not seeking it would be wrong. What is to be noted here is that the means-end relationship (between arth and kārna) and the justified-justifier relationship (between kārna and dharma) are two different types of relationship. It is because both of these two different principles are operative in the fourfold classification that I said earlier that it was not logically a very neat classification. To the question 'What sort of artha ought to be sought?', the proper reply would be 'that which *leads* to kārna,' and to the question 'What sort of kārna ought to be sought?' the proper reply would be 'that which is *approved or sanctioned* by dharma.'

In order to make the classification neat one may propose that kāma should be treated as an instrumental value to be sought only when it is a *means to dharma*, or that artha is a value to be sought only when it is *approved* by *kāma*. To accept either one of these proposals will amount to introducing a real modification in the Indian theory and a modification very greatly detrimental to it. To take up the second proposal first, it makes no sense to speak of kāma as approving or sanctioning the pursuit of artha, or of the latter as conforming to the former. The first proposal, on the other hand, if implemented, will not only amount to transforming a falsehood into an important truth, but will make the very foundation of the theory questionable. It is false, even according to the Indian conception, to say that pleasure can ever be a means to anything. Therefore, it cannot be a means to dharma. *Why* one seeks pleasure cannot be answered because it does not have an answer, and it does not have an answer because there is no end we want to achieve by seeking pleasure.[5] Apart from this, if pleasure can be treated as a means, then *any* pleasure can be so treated. In that case one can ask the question 'Why should I seek pleasure?' and one should be able to give an answer of the type 'because it leads to ….' Then one can ask such a question even about mokṣa which is the state of absolute bliss according to some systems, but mokṣa, as will be shown later on, is treated by all the systems except one or two as the final reason or justification for everything else one ought to do. Therefore, it itself should not be in need of any justification. A reference to it is claimed to determine the value of all actions; its own value, therefore, on this view, cannot be questioned.

Though the ancient Indian philosophers did not regard pleasure as an instrumental good, they did feel the need of some principle to account for

the preference of one pleasure over another. They had the important insight – and we must appreciate their insight – that even though all pleasures were *intrinsically* good, they were not *equally* good, and therefore there must be some criterion (or criteria) by means of which we could decide which one was preferable to which. Concordance with dharma, according to them, was the required criterion. They did not have to appeal to intensity, duration, etc. of the pleasures experienced, as Bentham did, or to the opinions of expert judges, as Mill did, because, as they did not *define* moral goodness in terms of pleasure, they had the freedom to regard some pleasures as moral (being approved by the rules of dharma) and some as immoral (being disapproved by the rules of dharma). This mode of distinction between or gradation of pleasures is not available to any hedonistic theory of the naturalistic variety; i.e., to any theory which defines moral goodness as pleasure. I am not saying that the Indian method of grading pleasures is the only possible method, but if one is not committed to a hedonistic ethics, a very natural and obvious course for him to take is the one which the ancient Indians took. In reply to the question 'Which pleasures should I choose to pursue?', it seems quite natural to say 'those which are acceptable to morality.' In fact, a morally acceptable pleasure means one seeking which cannot be wrong. One may debate whether or not a particular pursuit of pleasure is sanctioned by the rules of morality, or one may question whether or not a certain rule of morality is a right rule, but one cannot question the desirability of the pursuit of a pleasure approved by his moral system.

It is true, however, that reference to a moral principle is not going to solve *all* the problems the gradation of pleasures may give rise to. There may arise a situation in which the same pleasure is approved by one moral rule and disapproved by another, or the same rule approves two different sorts of pleasures. In such cases mere reference to the rule concerned is not sufficient to determine which pleasure should be sought and which shunned. But even in such cases it remains a necessary condition, though one will need, in addition to it, some other same-level, supplementing criterion, or some second-level criterion determining the superiority of one rule over another. We cannot discuss all such issues in the present paper. Moreover, I am not aware of the views of the ancient Indian philosophers on these issues.

Sometimes the word 'dharma' is taken to be synonymous with 'religion.' Even in modern Hindi it is the commonly used word for 'religion.' But in the philosophical usage of ancient Indians it denotes, as we nowadays use the terms, both morality and religion.[6] Therefore dharma should be understood as comprehending not only religious but also moral principles. A natural question would then be: what should one do in the event of a conflict between a moral and a religious principle? But it was not a serious question for the Indians because they ruled out of court the very possibility of the conflict. They maintained that nothing which offended morality could be acceptable to religion. This they did perhaps because they made it a matter of definition that a religious practice could not be really religious unless it was in accordance with morality or because they failed to see the logical distinction between a moral and a religious principle. There may be a third reason, altogether different from these two, and it may be even a metaphysical or theological belief, but at the moment I do not find any such belief which can account for the above view (about the relationship between morality and religion) in a more plausible or convincing manner.

The relationship between morality and religion is much more complicated than what the Indian philosophers took it to be, and the possibility of conflicts between them (or, even between two moral or two religious principles) cannot be brushed aside so easily. It is true, however, that in ancient India conflicts between morality and religion were extremely rare, if not nonexistent, and this fact might have encouraged the philosophers to think that hey were not possible.

Dharma is, thus, definitely a higher value than artha and kāma. But there may be questions about dharma also. Suppose one asks 'Why should I do what dharma prescribes?' This question is the same as the one which Bradley puts as "Why should I be moral?", a question which, according to him, "is natural, and yet seems strange. It appears to be one we ought to ask, and yet we feel, when we ask it, that we are wholly removed from the moral point of view."[7] He interprets 'Why' in the question to mean 'For what,' and therefore he takes it to be equivalent to 'For what should I be moral?', i.e., 'What good shall I obtain by being moral (or virtuous)?' Obviously, this question assumes that morality is a means to something, that 'virtue is not good, except as a means.'[8] And, this assumption, according to him, if accepted, will lead to the disappearance of morality. "… if we look

on her" (morality) "only as good for something else, we never in that case have seen her at all. She says that she is an end to be desired for her own sake, and not as a means to something beyond. Degrade her, and she disappears; and, to keep her, we must love and not merely use her."[9]

'Why should I do what is moral?' is in one sense a tautological question. It means, one can say, 'Why should I do what I should do?' because 'moral' means at least in some contexts what one should do. Certainly, in this sense it is not a genuine question. But it may also be taken to mean (a) 'What is the reason which *justifies* my doing what is moral?', or (b) 'What shall I gain by doing what is moral?' (a) seeks the justification for morality, while (b) the motivation behind its pursuit. (b) is not an unanswerable question, and not even on all occasions inappropriate. It can be answered, for example by saying, 'You will contribute to social well-being,' and if one wants social well-being, the answer will provide him with a motivation for being moral. Further, it is not always inappropriate to ask and answer this question because one of the most effective ways of making one moral is to provide him with adequate motivation. This is a very important work for educators, social workers, moralists, religious prophets, parents, etc. But it would be a gross error to think that offering motivation is the same as offering justification. An adequate motivation eliminates the psychological hesitation, indecision, or opposition, one feels when asked to do something, while an adequate justification (when found convincing and acceptable) makes him logically committed to do that for which the justification has been offered. The principle 'All promises ought to be kept' justifies 'this promise also ought to be kept,' while saying that you will gain the confidence of the promisee by fulfilling the promise you have made is only to offer a motive or cause (not a reason) for your fulfilling the promise. Therefore, to answer the question of motivation for being moral is not as Bradley thinks, to degrade morality; it may amount to degrading morality only if it is mistaken as offering a justification for morality.

Whether or not one can meaningfully ask for a justification for the entire system of morality is a very complicated question. It is quite natural and common to seek justification for this or that action within the moral system, but it is an entirely different thing to seek justification for the system itself. The question 'Why should I do what is prescribed by dharma?' (or 'Why should I be moral?'), when taken as a justificatory question, asks for the

justification of dharma (or morality) itself. One may say, as Bradley does, that the question cannot, properly speaking, be raised because morality is its own justification. In fact, such a position is held by Prabhakara. According to him what is prescribed by dharma ought to be done simply because dharma prescribes it. Kumārila,[10] on the other hand, holds that a life led in accordance with dharma is worth pursuing because it is the surest means to the good of the agent. It is clear that the latter view does not provide any reason or justification for dharma; it can at the most provide a motivation.

At this point many thinkers appeal to the concept of mokṣa. It seems to me that one of the reasons for introducing this concept in the Indian philosophy of values is the conviction in the minds of those who believe in mokṣa that an appeal to it is all that is needed to justify dharma. This concept has played a very dominant role in Indian life and philosophy, and the sole reason for this dominance is not, as many think, the mere fact that Indian philosophy has a practical objective. There is also a theoretical, philosophical, reason for its dominance, and that is the belief in its efficiency to justify the whole system of morality or dharma. According to the fourfold classification of values (purusārthas) mokṣa is the 'supreme spiritual ideal' to which dharma is a means.[11] Therefore, the answer to the question 'Why should I be moral?' would be, according to the believers in mokṣa, 'because it is the necessary' (and for some, e.g., Buddhism, Jainism, Sāmkhya, etc., also the sufficient) 'condition for gaining mokṣa.'

There are several theories about the nature of mokṣa. According to some thinkers it is the positive state of absolute bliss, according to some only the state of absolute absence of pain, while according to some others the state which contains neither pleasure nor pain; according to some it denotes communion with or the company of God, while according to others only the realization of the true nature of the self; according to some it can be obtained by the self even when it is in the embodied state, while according to others only when it becomes disembodied, i.e., after physical death. But it is not necessary to discuss here any one of these theories because this paper is concerned only with the logical role of the concept of mokṣa and not with the factual or metaphysical question as to what it denotes or refers to, nor with the normative question whether or not what it denotes can be fittingly regarded as the highest human ideal.

In whatever way the state of mokṣa is described, it remains a factual or ontological state, and therefore, to that extent, 'mokṣa' is a descriptive term. For the logician it does not make any difference whether it is said to denote the identity of the self and the absolute (advaita), placement of the self in the company of God, or even acquisition of the state of pure consciousness with the awareness that it is distinct and different from everything else (kaivalya), etc. etc. In all such cases it is made to function as a descriptive concept, and not as an evaluative or normative concept like virtue, duty, justice, etc. Therefore, when it is said that morality is a (or the) means to mokṣa and therefore it ought to be cultivated, it amounts to trying to justify ethics by making it subsidiary to metaphysics. But it is wrong to think that ethics can be deduced or derived from metaphysics. A reference to the concept of mokṣa can justify the morality of doing anything only if it is obvious that one ought to seek mokṣa. But it is not, and one can quite legitimately question the desirability of seeking it. It remains a fact that the belief in mokṣa as the highest ideal of life did assume in ancient Indian philosophy the status of a dogma (in a non-pejorative sense) or postulate, but this is no reason why we should not ask the questions this belief naturally gives rise to.

The point I want to emphasize is that an appeal to mokṣa does not *obviously* give any justification for morality, if it is legitimate at all to seek justification for mokṣa itself. The desire to attain mokṣa can be a motivating reason for being moral, and the reasoning offered to support the claim that one ought to attain mokṣa indicates that it cannot be anything more. It is said that the attainment mokṣa will give one eternal bliss, or make him completely and eternally free from all pain, or procure for him the most intimate company of God. If one desires any one of these things and if morality is going to help him in fulfilling his desire, then certainly knowing all this will provide him with motivation for being moral. But, for logical purposes, this reasoning is not at all different from any other which offers another theory of motivation for morality, for example, one which says that morality leads to social harmony, or political stability, or mutual trust, or personal happiness, or even the greatest happiness of the greatest number, etc. etc. All theories of motivation are alike in the sense that they can only account for the motives or causes for being moral; they cannot offer any justification for even doing any one particular act, not to speak of justifying the whole system of morality.

But it is wrong to think, one may say, that 'mokṣa' is a purely descriptive term. In Indian philosophy and culture, it not only denotes the ultimate (or a very high grade of) reality but also the ultimate value, and therefore to make ethics a means to its attainment is not only to provide motivation but also justification for being moral. But the question remains why mokṣa should be regarded as the ultimate or highest value. It may be the ultimate reality, but to say that it is (also) the ultimate value is quite different from saying that it is the ultimate reality; one does not follow from the other. Rather, to substantiate the claim that it is the ultimate value there will be required a different kind of reasoning from the one required to prove that it is the ultimate reality. But the view that the ultimate reality is also the ultimate value, to my mind, assumed in ancient Indian philosophy the status of a dogma or obvious truth (which it certainly is not).

Some people think that to say mokṣa is a state of eternal or absolute bliss (or a state of eternal or absolute painlessness) is all that is required to prove that it is the ultimate value. Even if it is accepted that bliss ought to be valued, it does not follow that eternal bliss, simply because it is eternal, is the ultimate value because that which is eternal cannot always be regarded as more desirable than that which is not. If the mere eternality of a thing can make it more desirable than what is noneternal, then eternal pain should be treated as more desirable than momentary pain. One may say that this reasoning is beside the point because the eternality of a thing does not make it desirable if in itself it is not; eternality only heightens to the maximum the desirability of the thing it qualifies in case the thing in question is already desirable. But this argument also is not conclusive. It may be that bliss is desirable because of a contrast with pain which is, on the other hand, undesirable; therefore, eternal bliss, because when achieved it will annihilate all pain, may no longer remain desirable. To say that absolute bliss is the absolute good because bliss is good is to commit a more grievous error than to say that a big ant is a big animal because an ant is an animal.

Morality is treated not only as a means to mokṣa but also as lower in value than it. But, here again, that mokṣa is a higher value than dharma does not follow merely from the latter's being (treated as) a means to it. It is not always true that the means is lower in value than that which it is a means to. For example, honesty may be a means to making profit, but this does not

mean honesty is lower in value than making profit. Therefore to show that mokṣa is higher in value than dharma it is necessary to offer a different reasoning from the one which can only show (if successful, which it is not) that dharma is a means to mokṣa.

It may be said that mokṣa is the highest value only to be felt or intuited in a superrational experience. This claim may be true, but it could be an answer only to the question what is the nature of the experience in which mokṣa is cognized to be the highest value, and not to the question why mokṣa is the highest value. If one says that it is the highest value *because* it is felt to be so in some superrational experience, the conclusion does not follow from the premise. One may say that we cannot ask for the justification for everything, and mokṣa being the ultimate value we cannot ask why it is the ultimate value. But if we are asked to stop at the stage of mokṣa, we could have very well stopped at the stage of morality. Then, there would not have arisen any need for asking the question 'Why should I be moral?' By proceeding one step further in introducing the concept of mokṣa we do not make any progress in our struggle for finding out the justification for morality; we only offer an explanation in terms of motivation and not in terms of obligation. To offer an explanation in terms of obligation, to show why morality ought to be cherished, will be a move back into the system of morality because obligation is a moral concept. This means that the attempt to go beyond ethics to justify ethics is bound to be a failure, though it has been taken in Indian philosophy to be the only and the safest method of justifying dharma or morality.

One may say at this point that not only *what* is mokṣa but also *why* mokṣa is the highest value is known in a superrational experience, and therefore no reason can really be given to show that it is the highest value. But this claim seems to be indefensible. To know that mokṣa is the highest value requires comparing it with all the other values than which it is claimed to be higher and comparision is the work of reason. Therefore, there must be some reasoning behind the claim that it is the highest or the ultimate value, and if so, it must be given when asked for. If mokṣa is said to be only an intrinsic value (and not the highest value) to which dhanna is a means, then certainly one can avoid this objection and say that it is intuition (or superrational experience) which gives us the assurance that mokṣa is an (or the only) intrinsic value. But this position will suffer from all the logical

defects of ethical intuitionism. For example, if one claims that his intuition tells him that kāma (or artha) is the only intrinsic value and not mokṣa, there is no method available to the proponent of the mokṣa-theory by means of which he can falsify the former; he can only say that the verdict of his intuition is in favor of mokṣa.

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[1] In translating these sanskrit words I have followed M. Hiriyanna who is not only a sympathetic but also a very authentic interpreter of Indian philosophy. See his *The Quest After Perfection* (Kavyālaya Publishers, Mysore, India, 1952) pp. 81 and 101.

[2] *Ibid*., pp. 81–82.

[3] *Ibid*., p. 101.

[4] *Ibid*., pp. 104–105.

[5] *Ibid*., p. 102.

[6] *Ibid*., pp. 24, 81, 83.

[7] Bradley, F. H., *Ethical Studies* (Oxford University Press, 1962), p. 58.

[8] *Ibid*., p. 59.

[9] *Ibid*., p. 58.

[10] Hiriyanna, M. *The Quest After Perfection*, p. 25.

[11] *Ibid*., p. 26.

A. Chakrabarti   **Is liberation (*mokṣa*) pleasant?**

I thus perceived that I was in a state of great peril, and I compelled myself
to seek with all my strength for a remedy, *however uncertain it might be*; as
a sick man struggling with a deadly disease … is compelled to seek such a
remedy with all his strength, inasmuch as his whole hope lies therein.

<div align="right">Spinoza</div>

I

Rabindranath Tagore, the prophetic poet of India, remarked that most of us worldly ordinary people are slaves. We are enslaved to our petty belongings, our small individual prides, and even to our subordinates. For a being so profoundly in love with bondage the message of freedom is quite without appeal, if not positively fearsome. It is not that we are quite insensitive to the sorry sides of human life. But, for all those long stretches of worried waiting and bitter aftertaste, deadly boredom, and the terrible chill of loneliness—we are still not ready to forgo the often brief but intense pleasures that this worldly existence undoubtedly allows us to enjoy. "Isn't it foolish," the hedonist Cārvāka argues, "to give up eating rice simply because the grains come enfolded with husk?" Since we love our little terrestrial joys so acutely that for their sake we are even prepared to "fall upon the thorns of life and bleed," now and then we find the notion of a liberated state of the soul—with all its promised painlessness—an out-and-out negative one. This attitude of the man in the street towards *mokṣa* or complete liberation is counted as one among many of his "false cognitions."

In his commentary on Gautama's *Nyāya Sūtras* (1.1.2) Vātsyayana gives this very faithful account of our mundane reasons for recoiling from the philosophically glorified prospect of getting rid of the sorrowful cycle of birth and death that is generally called *saṃsāra* in Indian philosophy.

About liberation (the idea), that it is indeed gruesome, consisting of a cessation of all activity. With such a liberation which divorces us from everything, so many good things of life would be finished. How, therefore, can any intelligent person find that sort of liberation characterized by absence of all the pleasures and even of consciousness at all palatable?[1]

Since all the Darśanas (except Cārvāka) of India make some kind of liberation from *saṃsāra* their explicit goal, it falls on their part to demonstrate that such a liberation *is*, after all, worth seeking. It is not sheer human weakness of the will or unthinking involvement with the world that stands in the way. There are also prima facie theoretical positions challenging the desirability of *mokṣa* or *apavarga* or *nirvāṇa*. There can be interesting discussions questioning the objective validity of the general premise that life as it is (that is, *saṃsāra*) is made of, or is full of, suffering.

What about those who do not feel it to be so? And these admittedly outnumber those who do. Since, unlike "is red" or "is solid," "is painful" is *not* primarily an objectively testable predicate, one cannot issue rectificatory judgments of the form: "Well, *saṃsāra* is painful, though you do not feel it to be so." Yet, this is precisely what the liberation-obsessed philosopher says to the happy-go-lucky ordinary man! Compared to other considerations like, "the present inevitable mixture of pain offers the best combination with pleasure we can aspire after" or "the pleasures of life are compensating," the major argument of the *mokṣa*-averse—"I *find saṃsāra* enjoyable, hence it is so"—stands out with a characteristic appeal of incorrigibility concerning beliefs about our own hedonic states. It has been suggested that *duḥkha* or suffering be taken no longer as a descriptive hedonic term, but as an evaluative term which claims the same objectivity and mistakability that "good" or "beautiful" (and according to some) "true" does.

In his prologue to the *Nyāya Vārtika*, Uddyotakara says things which confirm the suspicion that *duḥkha* (sorrow) was taken at least more objectively than a mere subjective feeling. He incidentally gives a list of twenty-one types of *duḥkhas* among which *sukha* (pleasure) is one. In explanation, we get the cryptic remark: "Pleasure is so (i.e., of the nature of pain) because it is inextricably intermingled with pain."[2]

Elsewhere he explains the term 'intermingling's (*anuṣaṅga*) rather too elaborately as meaning either

   a)   causing (*nimittārtho 'nuṣaṅgaḥ*),

   b)   being instrumental to (*sādhanārtho 'snuṣaṅgaḥ*), or

   c)   being never found without (*avinābhāvo 'snuṣaṅgaḥ*).[3]

and says that the third is the relation that prevails between pleasure and pain. Since pain is defined as *whatever* is thus intermingled with the feeling of suffering or torture (or any kind of deprivation),[4] we cannot raise the plausible-looking question, why not the other way around? Why not *call* pain "pleasure" because it is never found without the latter? And it is not an arbitrary decision to define "sorrow" more pervasively than "happiness", but, for the empirically slanted Naiyāyika, it is an empirically supported finding that the *avinābhavo* (non-without-staying) relation of pain and

pleasure is not reversible. We find an explicit statement of this in Udayana's *Ātmatattvaviveka*:

But there are some [who would not mind going through patches of sorrow to enjoy the accompanying pleasures] who need no more. No, the symmetry does not exist. It is suffering which is [more] abundant. Not all sufferings are intermingled with pleasures, although all pleasures are, as a rule, intermingled with pains.[5]

It becomes clearer that the Naiyāyika does not mean the statement "life is painful" to be taken as an *a priori* metaphysical truth but as a plain empirical factual assertion, as Udayana goes on to support the onesided equation of pleasures with 'pain' (in the wider sense), by such poetic remarks as the following:

Thus, indeed, even when we try to enjoy commodities earned by fair and just means, how little joy like the flickers of a fire-fly—we actually feel, compared to the great amount [of worries and tensions] we suffer regarding their procurement and protection. The [calamities] that attend [our enjoyment of] unrighteously earned objects are beyond my powers of imagination![6]

Whether we agree with his generalization or not, we can see clearly what he means when he says that reflective and spiritually ambitious souls *can* and *do* (notice: not an empty, formal *ought to*) run after the goal of absolute freedom from suffering together with all its roots and accessories—knowing full well that such a freedom would also be necessarily devoid of the "sweet sparks of joy." Taking the mocked-at rice-and-the-husk argument to an extremity he gives the illustration of a delicious poison (rice soaked with honey and poison). The point of the new illustration is that the threat of the poison is strong enough to win away our temptation towards the delicacy. But, practically, is it simply the threat of the poison or is it some assurance of a sweeter nectar as a prize for our sacrifice of the worldly enjoyments that motivates, or is adequate to motivate, the *mumukṣu* (aspirant after liberation)? The search for *mokṣa* is indeed a protracted and arduous one. Is the negative motive of "avoidance of worldly sufferings" enough to keep up the spirits all through that long and thorny path? Isn't the Naiyāyikas' description of *mokṣa*—as a state of the soul when it sheds-off not only its relation with mortal bodies but also all its cognitive and

affective faculties, retaining only formal properties like its oneness, separation from other souls, and so forth—too bleak? The "ultimate good" (*niḥśreyasa*) seems to demand more as its conceptual content than just "complete and permanent cessation of suffering"! It is to answer this question that the bulk of this essay will be devoted. We shall use as text mainly Vātsyāyana's commentary on *Nyāya Sūtras* 1.1.22, looking off and on into Vācaspati's *Tātparyaṭīkā* on that and the relevant sections of *Ātmatattvaviveka*. Some reference to Mandana Miśra's *Brahmasiddhi* will be made in connexion with the rival view that liberation is a state of *positive* unending happiness (bliss, to be more accurate) and not a mere *lack* of suffering. We shall also try towards the end to arrive at a solution of the problem in the light of what I think is the Kantian position about a connected but distinct problem.

II

The question *Need liberation be a state of positive happiness?*—as it has been discussed in the literature—can be broken up into two distinct questions, the first *speculative*, the second *practical*.

(1) Does an individual, when he is released from the bondage of *saṃsāra*, really enjoy some kind of eternal unmixed positive pleasure?

(2) Should an individual, while aiming at liberation, wish to attain positive pleasure?

Logically, there are four alternative positions possible regarding their answers: We may answer "Yes" to both, "No" to both, "Yes" to the first and "No" to the second, and "No" to the first but "Yes" to the second. Accordingly we get the following four positions:

(1) The position adopted as standard by the Advaita Vedāntin (and, I presume, by other devotional schools of theological thought as well) is that the soul really feels an intense, unrelieved, perpetual bliss in being liberated because that joy is the very essence of his being which was hitherto engulfed with the veil of ignorance or because he starts to enjoy the bliss-breathing company of his truly beloved Lord (a personal God of some sort). Practically, also, it is quite appropriate (any *other* motive being inappropriate) for the aspirant to be motivated by a hankering for that ethereal joy. The Vaiṣṇavas go farther to assert that the only price by which the ultimate goal (for them, a pure consciousness which is imbued with love for the Lord) can be purchased is "greed" (an intense uncompromising craving for nothing short of the Love of God). Tagore seemed to have a lifelong sympathy with this *positive* picture of the spiritual *summum bonum* and says, in an exquisite poem,

> [the lucky one that receives Your grace] is
>
> the greediest of all
>
> because he removes all his greeds to
>
> make place for You.[7]

We shall refer to this view as the Positive Joy (P.J.) view.

(2) The standard Naiyāyikā view is the opposite. It maintains that, in reality, the liberated soul does *not* enjoy any special happiness on top of an absolute absence of pain. Although Vātsyāyana gives a sublime description of the state as one of "fearlessness, freedom from death and decay," and even echoes the Upaniṣads by comparing it to the pure benignness of Brahman, he makes it very clear that there is no additional happiness to it. Happiness is caused by virtuous acts as a result of their moral merit; and the soul, when it casts off its captivating ties with birth and death also casts off all merit and demerit, virtue and vice. Hence there is no room left for any emotional state whatsoever—however favourable it might be. And there is no need for it either. Because the aspirant never wanted it. It is dangerous and counterproductive according to the orthodox Naiyāyikā to allow the seeker of liberation to be guided by a desire for permanent happiness in *mokṣa*. For, as Udayana observes, the idea that *mokṣa* guarantees us a permanent state of happiness is not only irrelevant to our attainment of that state, but is also an obstacle to it (*na kevalam iyaṃ nityasukhadṛṣṭir mokṣānupayoginī pratyuta virodhinītyevaha*).[8] The desire for happiness of any sort is a hindrance to the attainment of *mokṣa* as much as any other desire is. This austere view will be referred to as the *No Joy* (N.J.) view.

(3) We can also hold that the liberated soul does really get more than just cessation of pain, but ought not to seek after it. It is simply because one develops a genuine disinterest for the worldly life and wants to put an end to the sufferings of earthly existence that one should pursue the goal of liberation. But in fact when one becomes free in this spiritual sense one does enjoy a bliss—of a kind that one did not wish for—because one could not do more than imagine its magnitude and intensity! Something similar, I presume, was Kant's view about virtue and happiness. Man becomes truly virtuous when he totally gives up the inclination for happiness and pursues the moral principles for their own sake. (In this respect Kant's moral aspirant is worse off than our religious seeker because he does not have even the negatively spurring motive of avoidance of pain upon which to base his actions.) But Kant also holds, and quite strongly (as a piece of practical knowledge about the realm of ontic necessity which surpasses the phenomenal world) that the virtuous man really is rewarded by the maximum of well-being. Happiness thus comes to us only as an unwished-for object. To quote Tagore again:

it is something that we get only if we don't want it, it comes near only when we have given it up.

We shall discuss this view as the Kantian view, towards the end of the paper, although as we shall also see, it has obvious un-Kantian implications.

(4) The fourth view which we shall leave out as not serious is nevertheless a popular stance taken by religious teachers to attract the disciples (for their own good, of course) by a sort of bait. This is the position that although in reality liberation brings no happiness over and above complete absence of suffering, the seekers can (at least at a primary level) look for some promised prospect of greater pleasures to win over their yearnings for the worldly ones. Apart from the popular story of Buddha's unruly brother, who had to be told that *nirvāṇa* would bring all sorts of voluptuous pleasures before he could really start an ascetic life with very much unascetic intentions, eventually, of course, getting quiet satisfaction out of a pure *end* of suffering, there is also another beautiful illustrative story in the *avadāna* literature about such pious lies. A mother whose newborn baby has died comes to Buddha praying for the life of her child. Buddha promises to reenliven the dead child if the mother can fetch a handful of grains from a household where no *sorrow* has ever entered. The mother fails to find such a household, realizes the noble truth, and returns to the Master wiser in spirit, although the child never comes back to life. The practical efficacy of such a pedagogic device apart, this does not represent a genuine theoretical position. So we shall ignore it.

The positive joy view, attested as it is by a number of scriptural descriptions, was upheld not only by the Vedāntin; a section of slightly recalcitrant Kashmīrī Naiyāyikas believed in it as well—consciously going against Vātsyāyana the commentator. Thus Bhāsarvajña in his *Nyāya-Sāra* mentions the orthodox Nyāya (No Joy) view and refutes it. The *Bṛhadāraṇyaka Upaniṣad* (3.9.28) says that the bliss which constitutes the true nature of the Absolute—who is said to be identical with (or characterized by, as you wish) pure consciousness and pure joy—manifests itself (in the individual soul) at liberation) ("*Ānandaṃ Brahmaṇo rūpaṃ tac ca mokse 'bhivyajyate"*). Spinoza's *Ethics* (Prop. 33 to Prop. 42) describes the state of freedom (through the intellectual love of God—which, in its turn, is a necessary consequence of our perfect knowledge of God through *scientia intuitiva*) as one of eternal, maximum happiness, a blessedness of

which God is recognised to be the source. Even the *Gītā* gives ample support to such a (P.J.) view of the state of freedom:

After the yogin's *rajas* (restlessness) has subsided, all sins have been purged away, and he becomes mentally quietened, being one with (or similar to) the Brahman, and the Highest Happiness descends on him. (VI. 27)

This happiness, of course, is different in kind from the happiness that the fettered souls felt at the contact of their desired (perishable) objects. It is not only a pure and intense but also an intellectual (as against sensual) supra-sensible happiness: The *Gītā* describes it as something the attainment of which dwarfs all other attainments.

All this evidence, together with the testimony of the alleged *jīvanmuktas* (people who stay alive after *mukti*), provides a very strong case for at least an affirmative answer to the first, that is, the speculative, question.

The exponent of the N.J. theory which gives negative answers to both the questions refutes the above view in the following manner: We can not assert that there is a feeling of eternal happiness in liberation because (a) it is theoretically indefensible that such a state would comprise such a feeling, and (b) if we assert it, then the seeker of liberation (the *mumukṣu*) will hanker for it, and once "by way of the assurance of a permanent state of Pleasure, this seed of desire is nurtured in our hearts, the wicked witch of lust getting a little scope will tempt the person back to the material objects of desire—thus throwing him far away from the prospect of liberation."[9]

Let us call (a) the speculative argument and (b) the practical argument. It is plain that the practical argument takes for granted a negative answer to the second, that is, the practical, question. Its force lies in demonstrating that if *mokṣa* consists of permanent pleasure it would be *known* to do so by the *mumukṣu* who would then be actuated by a sort of allurement for a— however pure or beatific—*pleasure*, and allurement will bind him again in *saṃsāra*, because it is its nature to bind. Hence if *mokṣa* is pleasant then it cannot be ever attained by the seeker who knows it to be so. And this is supposed to be enough to show that *mokṣa* is *not* pleasant.

The speculative argument meets the first part of the P.J. view more directly. It, however, has two distinct parts.

(i) It is said that in *mokṣa* the already existent eternal happiness of the soul becomes manifested (*abhivyakta*). But is this manifestation (or *feeling*) of eternal happiness itself eternal or not? If the manifestation (like the essential property of joyousness which it makes felt) itself is eternal, that is, beginningless, too, then we must say that the soul eternally—hence even before the mukti-state—feels happy. Then the fettered and the free alike would feel the blessedness that is claimed to be a prerogative of the free alone. This being absurd, the manifestation cannot be said to be eternal or uncaused.

If on the other hand the manifestation has a beginning, marked by the moment of being liberated, we must be able to account for its emergence at that particular point of time by some causal explanation. Here there are two sorts of explanations forthcoming: Vātsyāyana considers a view according to which it is a special kind of co-ordination between the self and the inner sense (the instrument of inner perception, for example of *sukha* (happiness), and so forth)—helped by the special merit of value—resulting from a Yogic state of *samādhi*—which causes the feeling of the eternal happiness of liberation. But *mokṣa* is by definition a state where the soul gives up all its previous equipment of merits and demerits, virtues and vices, and does not accumulate any new results of action. The positive *dharma* which is caused by *yogasamādhi* will therefore exhaust itself, thus causing the feeling of joy also to cease. If the feeling ceases, the existence of the joy would be impossible to ascertain because one could not be sure whether it is the joy which has vanished or only the feeling of it. We cannot say that this special *samādhi* and the merit it produces never gets exhausted, because all positive entities which are caused or have the property of being brought into existence necessarily have to have an end too. Thus a non-eternal feeling which has a beginning would not be permanent, as the happiness of liberation is alleged to be, and unfelt happiness is as good as no happiness at all.

Bhāsarvajña[10] plays ingenious scholastic tricks at this point to preserve the position that the feeling of bliss of the liberated soul has no reason to cease to be felt, although it starts to be (is caused), because nothing can lead to the destruction of the relation between the essentially eternal happiness and an awareness of it once that relation has been established by removing all intervening obstacles. As Vātsyāyana argues:

Whatever is produced comes to an end.

The manifestation or feeling (of the joy of *mukti*) is produced

∴ It comes to an end.[11]

The argument is said to be fallacious because the *vyāpti* that it is based upon (the major premise) does not hold universally (in other words, the *hetu* is *anaikāntika*, non-pervasive). A counterexample to the major premise would be: the absence of an object after the destruction. Such a posterior absence has a beginning, is produced by the act of destruction but never comes to an end because the same thing cannot come back to existence.

But to preclude such a counterexample, the *vyāpti* may be re-cast with a reservation clause: Whatever is produced, *and is a positive entity (vastu)* must have an end. But Bhāsarvajña argues[12] that there is no evidence that the feeling of happiness which consists in the "relation between a cognition and the object, viz. happiness" is a positive entity of a sort which has to be perishable if it is producible. For one thing, it is not included explicitly in any of the six categories of *positive* entities (substance, quality, action, particularity, universal, and inherence). If we try to include it somewhere in the list we are at a loss to say which category will subsume such a relation of intentionality *viṣayaviṣayisambandha* under itself. The above list of Vaiśeṣika categories is said to be so arranged that nothing which belongs in the category of an earlier item can reside in any of the latter ones. Thus if we are to make room for the cognitive relation we must make it after universals—so that the possibility of such a relation taking universals (and all other four categories of things) as its relata is left open. But in that case, too, we have to say that such a relation can never exist between a cognition and the relation of inherence itself, or not even between a cognition and an *absence*. But we do admit (the Vaiśeṣika himself does) the knowability of inherence and of absence—the latter being said to be directly perceptible. Then, there seems to be no way of categorizing the cognitive relational tie itself as a positive item. If some one puts forward the further argument that all cognitive ties are due to some result of previous action or merit due to virtue, and so forth, and since such merits are perishable (as in the case of merit due to *yogisamādhi*) the cognitive tie too must be perishable. That argument is easily invalidated: for, if all cognitive ties have to be established through an unseen destiny (*adṛṣṭa*), then God, who has no such

destiny, would have to be deprived of any such tie with any object and would be far from omniscient. He would not have a chance to know a single object!

If the above evasion of the perishability of a produced feeling does not sound persuasive, one might resort to construing the production of feeling not by a positive factor but by removal of some obstacle. It is often urged that just as the existent jar is not seen by the eyes until the intervening obstruction (of a wall, or curtain) is removed, the essential blissfulness of the self cannot be felt (by those in bondage) because of obstructing factors like our sins, ignorance, physical involvements. But Vātsyāyana asks:[13] What, precisely, are these obstructions? If it is held that it is our embodiment in a mortal body that stands in the way, that hardly sounds persuasive. Is it not the main purpose of the body to enable us to enjoy and suffer pleasures and pain? How can the instrument and medium of enjoyment of happiness itself be a hurdle to such enjoyment? Here, too, Vātsyāyana seems obstinately to ignore the alleged distinction of kind between the pleasures of ordinary worldly life and the supra-sensible "*atīndriya*"-pleasures of the emancipated soul! When he issues such generalisations as: "There is no evidence that a bodiless soul has any enjoyment" (*na cāsty anumānaṃ aśarīrasya ātmano bhogaḥ kaścid astīti*),[14] he obviously overlooks the emphasized disparity between the enjoyment of sensible objects and the enjoyment of eternal Bliss—the latter being of a sort where even the distinction between subject and object is said (sometimes) to disappear. Is it not plausible that for such an ethereal bliss to be felt, our body *is* an obstacle rather than an instrument?

Uddyotakara tries to strengthen the above argument of the commentator by adding another reason for rejecting the alleged explanation of the body being an obstacle. "Like the happiness which (though unfelt) is imagined to reside in the self eternally we can also imagine the body to be eternal in some sense." It is not clear what he is implying by this hypothesis. The subsequent chain of polemics brings out that it is considered just *as* indefensible to hold that the happiness of the soul is ever-present *as* to hold that the soul's body is so.

We can give some sense to the line of attack above by pointing out that the Vedāntin sometimes admits that it is possible to be liberated while alive. Others who talk about *mukti* being a blissful state talk of some type of

purified transformed body. So it seems that the *body as such* can coexist with the state of liberation—according to these philosophers. So they at least cannot argue that the eternal bliss cannot be eternally *felt* because of the presence of the body. Both Uddyotakara and Vācaspati were aware of the alleged distinctiveness of the joy of *mukti*. They anticipated arguments like the following: "Since, unlike ordinary pleasures which are inextrincably associated with pain, the pleasure felt by the *mukta* is free from any possible contamination by pain—there is no question of wanting to avoid this latter sort of lofty unadulterated pleasure for fear of any attendant pains." Udayana, in his *Ātmatattvaviveka*, takes up the debate from this point and tries to show that the claimed self-illuminating, uncaused, untainted nature of such a positive joy would make it also unseekable, unachievable, unknowable, and unobtainable. "Since it is said to be eternal it cannot be sought. One does not search for what one already possesses. If one compares it to a *forgotten* piece of possession—like the golden chain which is all the time round our neck while we are frantically searching for it—it becomes incoherent with its alleged self-manifesting nature."[15]

Finally, Udayana answers Bhāsarvajña's technical trick by pointing out that the category of positive entity and that of absence exclude any middle which is neither (*bhāvābhāvayoḥ prakārāntarābhāvāt*). Since the relation between a cognition and its object (here, the feeling and the eternal happiness) is not of the nature of an absence (for, if it is, *whose* absence can it be called?), then it must be a positive entity—and hence be perishable if producible—because there is no other exception to that rule except a certain kind of absence.

If, on the other hand, that much-glorified "attainment" is identified with the destruction of nescience or *avidyā* (which destruction could surely generate a state which has a beginning but has no end), then the Naiyāyika has no quarrel with that negative description of the state of liberation and its means. Since our nescience is so invincibly hard to eliminate the mere eradication of it looks like a great positive achievement. Even the enjoyment of the highest heavenly pleasures—insofar as they are unevenly distributed—have a tint of pain by way of envy, dissatisfaction, fear of falling, and so forth. The mixture is so essential that we cannot hope to separate the two like rice and husk. But just as we heave a sigh of great

relief after we have merely taken out a thorn from our foot or have quenched our thirst, although these are just *removals* of certain pains, we feel exalted just by being able to dispel the ageless shroud of "original illusion" although we do not thereby *gain* anything new.

(ii) The second part of the speculative argument repeats the point already touched that liberation cannot consist of pleasure of any sort because pleasures are so uniformly co-present with pains that it is not possible to isolate the one and avoid only the pain-bit and retain the pleasure. We have already seen the reasons for the Naiyāyika's charting of *sukha* as a kind of *duḥkha*, and from that it follows, by definition, that if *mokṣa* is a state of absolute release from all the twenty-one sets of *duḥkhas* it is, *eo ipso*, a "release" from *sukha* as well. It is needless to rehearse the possible retort to this from the P.J. camp. Instead, let us pass on to the positive arguments adduced by the *P.J.* proponents.

As Vātsyāyana represents them, the positive-joy view may contend that it is found that people hanker after liberation, and scriptures prescribe ways to bring it about. Unless liberation was a positive state of happiness, how can this hankering and this instruction be accounted for? Men cannot direct their volition toward a mere "absence"! The inference when properly arranged (by Vācaspati) looks like this: "Mokṣa must be a state of happiness, because it is *aimed at* (*iṣṭa*) and nothing but a state of happiness can be aimed at."[16] But the generalization "nothing but a state of happiness can be desirable" can be rebutted. It was rebutted by all of Mill's critics. In this particular case, the Naiyāyika would say, we cannot aim at what is apparently desirable because it is so inseparably blended with what is counter-balancingly undesirable. The guiding motive, thus, becomes avoidance of the undesirable, as already shown by the example of the poisonous delicacy. That this has to be the case was admitted by Mill himself, who was otherwise eager to vindicate the happiness principle.

Since utility includes not solely the pursuit of happiness but the prevention or mitigation of unhappiness, and if the *former aim be chimerical*, there will be all the greater scope and *more important* need for the latter.[17]

The Naiyāyika seriously believes that from an ultimate point of view the possibility of combining happiness with complete absence of suffering is indeed chimerical; hence the counterbalancing importance and urgency of

getting rid of suffering even at the cost of foregoing all pleasure. But this practical argument against the speculative thesis begins, as it were, with confusing the two different questions. For the solution of the speculative problem, namely, whether, in reality, liberation brings a feeling of eternal happiness with it, it takes as a clue an answer to the ethical problem, namely, whether the seeker should desire happiness, and so forth. If, it proceeds, the seeker desires happiness (of however refined or pure a sort), this desire (*rāga*) will bind him, eventually blocking his way to liberation, because it is in the very nature of desire to bind. Once we give in to the desire for happiness, there is every chance that, being tired of the hard struggle which our seeking involves, we might choose the easier means to get happiness and thus lose ourselves in *saṃsāra* again. This worry goes back to the traditional charge against hedonism that it is impracticable to make distinctions of (nobler and baser) quality while confining oneself within the happiness principle. Mill, who wanted to establish Utilitarianism as the sole principle of moral worth by adding to the other dimensions of variation of happiness the new dimension of *higher*/*lower* or *more*/*less valuable kinds*, admitted that:

Men, often from infirmity of character make their election for the *nearer good*, though they know it to be less valuable[18]

and thus:

…. Many who begin with youthful enthusiasm for everything noble, as they advance in years sink into indolence and selfishness.[19]

Udayana, in the *Ātmattattvaviveka* gives the following rather obnoxious illustration of this sound principle:

That [hankering for happiness] dies hard. Since [by past associations] the idea of happiness is accompanied by the traces of [ordinarily enjoyed] happiness, if we pursue that idea those mental traces are going to reawaken in us the memory of [hence the desire for] worldly pleasures; the man who desires [the allegedly] special kind of happiness is likely to be propelled toward ordinary earthly pleasures, too—in this way. An example:

It is found that being unable to get a glamourously beautiful lady one sometimes perversely loves some subhuman animal.[20]

The basic psychological truth behind this is that when an ideal is pursued, not out of sheer regard for the ideal but for the sake of the pleasure that it brings, a little frustration leads us to inferior pleasures: despairing of the lofty, we often desperately bury our heads in the low. The impure motive of desire for happiness (*sukharāga*), therefore, is a precarious ground for our endeavour after liberation.

It is this apprehension that prevents the Naiyāyika from taking terms like 'happiness' (*sukha*) or 'joy' (*ānanda*), which the scriptures use when describing the state of liberation in their primary, that is, literal, positive significance. They are hence taken in their secondary import of "absence or destruction of suffering" (*duḥkhābāva* or *dhvaṃsa*). The support from usage of such secondary meaning of *sukha* has been already cited. Do we not call the relief from the agony of a bruise or the removal of a painful thorn "a great happiness"?

Against this psychological argument, one can counterargue that absence of pain cannot by itself or always (necessarily) be equated with pleasure. Maṇḍana[21] gives the simple instance of a man scorched by summer heat dipping into cool lake water and remaining half-plunged in it. Can this man be said to be "happy" because his pain due to heat (over half his body) has been removed? But this niggling counter-example can easily be got around by qualifying "absence of pain" by "complete, absolute, in all parts," and so forth. The big objection, however, remains that the interpretation of all those frequent references in the texts (and testimonies of self-fulfilled *mukta* souls) to an immense unending joy—as simply signifying a mere *absence* of suffering—seems quite unconvincing. As to the argument that the so called blessedness of *mukti* descends only upon the untrammelled calm mind, whereas the mind which is stirred by the yearning for happiness is not calm—we can retort in this way:

If desire for *sukha* is a seed of *saṃsāra*—is not aversion to *duhka* equally so? Are not love and hate equally hindering obstacles for the seeker? Yet, the seeker, after the Nyāya model, is a man who constantly hates his worldly life because of its sorrowful nature. How can such a soul, actuated as it is by the motive of aversion toward certain objects, ever hope to get liberated?

To this Uddyotakara replies that "No, the motive of warding off sorrow is not counter-productive."[22]

Vācaspati explains this reply as follows:

True, a piece of anger, spitefulness, or aversion is an element of bondage. But that is the aversion which is of the type of a blazing fire (*jvalanātmaka*), and this is not how the seeker should feel toward worldly sufferings. His characteristic mood is that of a non-attached person for whom the earthly life is of no taste whatsoever. (The Sanskrit word "*Vairāgya*" here seems almost untranslatable.) We can have a sense of *not wanting* something (*alaṃpratyaya*) without feeling aggressively scornful about it. This quiet cognition of dispensability (*upekṣābuddhi*) is what we think the seeker ought to feel towards the plights of human bondage.

But, here, the supporter of the P.J. view may join the issue: Just as not every "willingness to avoid" is "aversion," not every "wish to attain" is "desire." The pure, unblemished eagerness for an enlightened tranquility of mind and the supreme joy thereof is not to be identified with the tiny desires for corporeal objects. The latter captivates us to *saṃsāra*, but why should the former do so? It is as improper to describe the seeker's attraction towards the sublime happiness of *mokṣa* as a case of "desire for pleasure" as it is to describe his flight from suffering as an "aversion to pain."

Maṇḍana strengthens his positive answer to the ethical question (namely, that the seeker should run after a great, positive, eternal happiness) by citing the general psychological principle that a great desire devours smaller ones for its own fulfilment. Even if the wish to be eternally and absolutely happy is a strong desire, it precludes the possibility of our surrendering to any smaller temptation while we are prompted by such a great motivating force. Just as a man who wants to be a great political leader or an emperor (for the sake of power and pride) easily forgoes hundreds of tiny pleasures and courts hardships, we can easily forget immediate pleasures and pains, profits and loses while we are searching for that great attainment of a permanent and boundless ocean of joy, which is *mukti*. The fear, unless the desire for eternal happiness be self-baffling, is therefore groundless. It is such a not-easily-quenched thirst for nothing short of supreme Beatitude, that is the proper motive-force for liberation.

III

We have discussed, up to this point, the two following views:

(P.J.):   The liberated soul does get positive happiness, and the seeker for liberation ought to look for such an ecstatic joy, and so forth.

(N.J.):   The liberated soul does not get any happiness beyond simple cessation of sufferings, and the seeker *should not* look for such happiness.

It is clear that neither of the above-mentioned views maintains a clear distinction between the two initial questions, namely, the ontological and the psycho-ethical. The P.J. thinks that we can quite safely look for supreme endless joy while seeking release from *saṃsāra* because we ultimately are guaranteed to get it, along with such a release. The N.J. thinks that that state *really* cannot be said to consist of such positive happiness because if it is so, then people seeking it would have the risky motive of desire for such a happiness which in its turn might captivate them forever in *saṃsāra*. A consistent view seems to emerge out of combining the elements which are convincingly cogent in both the accounts. We can, as indicated above, maintain that the seeker ought to model himself after the Naiyāyika fashion with a stoic negative attitude towards all worldly objects—apparently pleasurable and painful alike. As reflected in the passage quoted from Spinoza at the head of this article, his attitude should be like that of "a man with his head on fire—running madly towards water"—without ever imagining to get anything more than merely a putting out of the fire of sorrows. But as Kant thought that the truly virtuous man is, in the intelligible world (where everything happens as it ought to), rewarded by supreme happiness, although he never, by definition, *qua* a *virtuous* moral agent acted *for the sake* of such happiness, we might imagine that the true seeker of liberation attains eternal happiness even if he did not look for it.

The analogy with Kant's position is, of course, in one important sense quite misleading. The moral actor, in Kant's view, not only gives up all inclinations for happiness but does not even act out of any tendency to put an end to sufferings. Popular representations of Kantian morality make the ethically perfect person rather prone to pains, whereas the chief motive of

the seeker for liberation is, according to our position, the motive of putting an end to sufferings of all kinds and forever. Thus while Kant's moral actor is supposed to have no end other than doing his duty out of a respect for the moral law (which, according to some interpreters, does supply some positive psychological ground for his motivation), the Naiyāyikas' *mumukṣu* yearns for liberation out of his utter disillusionment with this mortal life. But this disanalogy does not make the comparison absolutely pointless. If we replace virtue by liberation (= *end of duḥkha*) we can get the very Kantian-looking view that liberation ought to be sought for its own sake, although when attained it incidentally (out of a necessity which is not available to discursive reasoning or theoretical knowledge or proof) brings with it an eternal happiness—which is incomparably superior to all mundane happiness. In short, we make a sharp distinction between the two questions, answering the speculative with a tentative (optimistic) affirmative and the ethical with a negative: *Man cannot be advised to wish for eternal happiness in liberation but he actually gets it if he is liberated*. But there was a certain point in "confusing" the two questions. As the Naiyāyika would argue (and I suppose a critic of Kant's moral theology would also, in parallel, argue): When you describe the state of liberation as a pleasant one, you thereby motivate the seeker with an improper impetus, thus rendering it impossible for him to attain it. Kant solved this paradox by maintaining that we do not and cannot *know* that virtue brings happiness, although it is *true* that it does (and we have a "hope" or "practical certainty" to that effect). If we really know, that is, theoretically be certain, that *mukti* would give us endless joy, how can we resist hankering after *mukti* without looking for the joy it involves? If, on the other hand, we do not have any means to prove that we here are not actuated by any such premise of eternal pleasure, it nevertheless seems possible, and psychologically feasible, to seek liberation for its own sake, provided some basic emotional and intellectual conditions are fulfilled.

Emotionally, it requires an intense feeling of worthlessness and disvalue for the mortal existence. As the *Gītā* describes the mood in the classic way: "Unperturbed by pains and disinterested in pleasures"—or, as *Aśvaghoṣa* describes the ascetic indifference of the young prince Siddhartha, surrounded by the luxuries of the royal palace: "Musing anxiously over the mortality of things he neither rejoiced nor winced."

The urgency of getting rid of this shackled life must reach a maximum point before one can really want to attain a *freedom* from this predominantly sorry life even at the cost of foregoing all its flickering bits of pleasure. We must be so tired of repeated births and deaths as to feel earnestly anxious just to get away from it—without the slightest speculation as to how rewarding liberation might be.

Just as out of excessive longing we go for an object ignoring its defects, we do also turn away from an object ignoring its (apparent) good sides if we are genuinely disgusted with it.[23]

The *intellectual* condition is the requirement that one should be discriminating enough to see through the genesis of the worldly sufferings. The step-by-step process by which Gautama says an individual can attain the Summum Bonum of liberation has "destruction of false apprehension" as its penultimate stage. It is because we reconcile ourselves to the idea that we have to suffer certain plights in order to enjoy our shares of happiness that we don't mind them and are careless about trying to get rid of them absolutely. So many people are consciously struck by the "*Duhkhakhayābhighāta*" (blow of the threefold sorrow) but only a handful have "*jijñāsā tadavaghātake hetau*" (inquiry into the conditions for its eradication).[24] This is because the intellectual condition of being philosophically aware is so rarely fulfilled. Thus, to cross over the biggest hurdle, namely, one's craving for pleasure, one has just to contemplate the very essence of worldly pleasures which makes it impossible to enjoy them without a counterbalancing greater amount of pain before and after.

These emotional and intellectual requirements being met, it might be possible for someone to strive for a pure freedom from all sorts of pain without the faintest desire for any additional feeling of happiness. And that seems the most appropriate and secure psychological ground for a seeker after liberation.

As to the answer to the ontological question—whether the fire-extinguishing water of the river of *mokṣa* is also positively soothing—our stance must remain to some extent open. The scriptural descriptions or the testimonies of liberated souls can only give us a secondary and sketchy idea of what it is really like to be liberated. One cannot really convey the exact

taste of an experience without making the audience taste it for themselves. Thus, it is possible

(a) that *mokṣa* feels like a sheer absence of any feeling of pain of any sort, *or*

(b) that *mokṣa* feels like a great positive state of boundless ecstatic joy, *or*

(c) that the sheer absolute absence of suffering feels like the greatest joy possible.

And we cannot and need not decide between the alternatives. Interestingly enough, such a position is already hinted at by Vātsyāyana himself at the end of his commentary on 1.1.22 (N.S.B):

If, in like manner, the liberated soul does have an eternal happiness or does not have it—neither of these alternative situations make any difference to the attainment of *mokṣa* [for one who has given up all *desire* for eternal happiness][25]

Our final position therefore is definite about the practical question: the seeker should not make desire for happiness his basis for seeking liberation; but our attitude towards the speculative question is rather indifferent: the question must remain open. All our answers to such a speculative question must be conjectural. As the Buddha said, it is idle to ask what the real nature of this or that state of things is. Our problem is a practical one: how to put an end to all these agonies of existence. As to whether we shall get anything more than cessation of suffering when we attain the final release, we are free to take the scripture's descriptions of that state as "joyous" either literally or as a figurative way of describing a complete relief from unhappiness. As Udayana remarks in the *Kiraṇāvalī*: "Being petty dealers in ginger, why should we bother about information concerning large cargo-ships?" To us poor mortals whose highest conceivable model of pleasure is still tarnished by some pain (a phenomenon we euphemistically call the beauty of contrast) it is not given to know how an absolute absence of pain feels.

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NOTES

1. *Nyäyadarsana of Gautama*, with Bhāṣya, Vārtika, Tīkā and Pariśuddhis, edited by A. Thakur (Mittula Institute, 1967), vol. 1, p. 150.

2. Ibid., p. 6.

3. Ibid., p. 450.

4. Ibid., p. 450.

5. *Ātmatattvaviveka of Udayana*, edited by Ḍhuṇḍhirāja Śāstrī (Benares: Choukhamba Sanskrit Series, 1940), p. 440.

6. Ibid., pp. 440–441.

7. *Gītāñjali*, poem no. 66.

8. *Nyāyadarśana*, p. 459.

9. Ibid., p. 459.

10. *Nyāyasāra of Bhāsarvajña*, edited by Abhyankara E. Devadhara (Poona, 1922), pp. 96–97.

11. *Nyāyadarśana*, p. 454.

12. *Nyāyasāra*, pp. 96–97.

13. *Nyāyadarśana*, p. 454.

14. Ibid., p. 454.

15. *Ātmatattvaviveka*, p. 442.

16. *Nyāyadarśana*, p. 459.

17. J. S. Mill, *Utilitarianism*, chapt. 2.

18. Ibid.

19. Ibid.

20. *Ātmatattvaviveka*, p. 445.

21. *Brahmasiddhi of Maṇḍana* (Madras, 1937), pp. 1–2.

22. *Nyāyadarśana*. p. 457.

23. *Ātmatattvaviveka*, pp. 439–440.

24. *Sāṁkhyakārika*, no. 1.

25. *Nyāyadarśana*, p. 455.

AUTHORITY AND LAW IN ANCIENT INDIA

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ANCIENT INDIA HAD NO TERM exactly equivalent to our word 'law,' in the same way that it had no word for 'religion' or 'philosophy.' The fact is that Indians categorized the areas of human culture differently from us. To understand their view it will be well to consider briefly their categories. The Indians spoke of certain great aims of human life and effort, and they divided their literature and science according as it served one or another of these aims. What we call law falls into two of these categories without filling either one.

The first category with which we are concerned is *dharma*, a word which means the correct traditional order of things,—pure customs, correct sacrifices, the proper relation between the different classes of society. The literature of *dharma* contains a substantial part of Indian law and I hope to show in what follows that it is the more important part from a long-range view of Indian history. But the books of *dharma* contain much other matter as well, matter that we would assign not to law but to social custom, ritual, religion and mythology.

The second aim of human effort with which we are here concerned is called *artha*, which means material advantage, social preferment, wealth, power. The literature which serves this aim consists on the one hand of popular maxims and didactic tales, and on the other of scientific treatises on a multitude of subjects, military, political, economic and others. The culmination of this literature is the *arthaśāstra* or Book of Artha par excellence, which is a textbook on how to manage an empire. Accordingly, this category also contains a part of Indian law. But note the law of the *arthaśāstra* is of a particular kind. It is profane as opposed to religious, materialistic as opposed to idealistic. Its purpose is avowedly nothing more

than *artha*, material advantage, or as we would phrase it these days, efficiency and power of the state.

Thus, what we call law falls in the Indian view into two sets of things, the one religious and the other profane. The distinction between the two sets is not simply philosophical. The literature of *dharma* and *artha* follow separate historical traditions. Let me begin by speaking of the tradition of *dharma* or religious law.

The oldest books of *dharma* which have come down to the present time are in the form of brief enigmatical sentences composed with a view to facilitating the memory of the text rather than to giving a logical and rational picture of the society and customs of the times. The reason for this is that these *dharmasūtras* as they are called were not at first written down; they were memorized. As the pupil memorized the brief sentences he would be furnished with a more compendious oral explanation by his teacher. We have some five or six of these texts deriving from a period which is usually set in the loose-fitting limits of 600–300 B.C.

Each of these *dharmasūtras* was originally the product of a particular Vedic school. That is, each text was handed down by a succession of brahmin priests and students. The *dharmasūtra* of a school formed only a small part, a sort of supplement one might say, to the main body of traditional lore memorized by members of the school. The main tradition consisted of hymns and magical charms, ritual and mythological commentary, mystical speculation together with very practical rules for sacrifices. The rules on *dharma* or religious law were the last part of this tradition to be frozen, the last part to reach the stage of being memorized.

How deeply the origins of this law are embedded in other religious and ritual matter can best be shown by giving a summary of the contents of one of these early texts. I choose the book of the school of Gautama because it is usually considered to be the oldest.[1]

Gautama's *dharmasūtra* contains among other matter the following, and in the following order:

Rules on how to purify oneself; regulations governing the life of a student of the Vedas; rules for religious mendicants and forest hermits; the different types of marriage; rules for a householder, listing the recitations,

libations and sacred fires which are required of him; how to treat a guest; the immunity of brahmins from punishment; the sacraments; rules governing sex; occupations that may be followed by different classes of society; forms of ownership of property; fines and punishment for abusing or injuring a member of a different social class; punishment for theft and for damage caused by cattle; rates of interest; witnesses and judges; periods of impurity; ancestral feasts; from whom one may accept food and what kinds of food one may eat; methods of outcasting and crimes from which one may be outcast; rules of inheritance.

Not more than a fifth of this is what we normally term law. The majority of the rules are not justiciable, but are rather not the concern of the individual, his family and his caste. Rather than make this modern distinction, however, let me characterize Gautama's *dharmasūtra* in more meaningful terms.

The regulations here given apply strictly to one small group of brahmins, specialists in a branch of the Sāma Veda. Most of the rules are enforceable, if at all, only by this group. Outside this group society is recognized to consist of four great classes. First, there are the brahmins, the class to which Gautama's group belongs. Then comes the nobility, headed by the king. Third are the *vaiśyas*, originally 'the commoners,' but by this time specializing in herding, trade and manufacture. Last come the *śūdras* or peasants, who are not twice-born and are therefore outside the pale of Vedic religion. There is at this time no body of law which applies to all four classes alike. And this remains true of religious as opposed to profane law for all time to come.

The king is mentioned in Gautama's book perhaps ten times; I think not more. Often when he is mentioned it is in connection with conflict of interest among the four social classes. Thus Gaut. 8.3:

The duty [of a king] is the protection of his people and the prevention of confusion of the classes.

Or Gaut. 23.14:

The king shall cause a woman who commits adultery with a man of lower class to be devoured by dogs in a public place.

Matters that do not involve a conflict of classes or castes are not the concern of the king; they are to be decided within the class where the

matter, arises. Thus Gautama has the following sentence and all the old *dharmasūtras* have some comparable statement.

The laws of [other] countries, castes and families which are not opposed to the sacred tradition have also authority. (Gaut. 11.20.)

What we have then in the earliest period of Indian law is an essentially isolationist society. Each social group has its own customs and laws based on religious sanction. The customs of the brahmins may already have been regarded with greater respect than those of other classes, though this has been denied by some scholars.

Private property existed and so did kingship. The duty of a king was to protect his subjects; his right was to collect taxes from them. But beyond this his authority over them extended only to the settling of disputes between different social groups. This is typical of the tradition of Indian *dharma* for all time. One may point to a significant custom of later times. When a caste or village council could come to no unanimous decision, they could avail themselves of either of two procedures. They could appeal to the ordeal or they could appeal to the king. King and ordeal were on much the same plane. They were invoked when the normal institutions of society broke down.

However, with the increasing complexity of society the legal authority of the king increased. This may well have been a slow process in the northwest of India. But in the kingdom of Magadha the process occurred rapidly. Magadha is in the northeast, its center being in the southern part of the present province of Bihar. There is reason to suppose that Magadha had developed a strong centralized state by 500 B. C. By the time of Candragupta Maurya (acc. 323 B. C.) Magadha had conquered the whole of north India and its administrators had developed a system of profane law quite different from the religious tradition I have described above and admirably suited to this solitary example in India of the total state.

Our knowledge of Magadhan administration and law is derived almost entirely from a single work, the Arthaśāstra attributed to Kauṭilya, the brahmin minister of the first Mauryan emperor. This text was unknown to modern Indianists before its recovery from southern manuscripts in 1908. One may truthfully say that its appearance has antiquated everything written on the subject of ancient Indian government before that date.

Unfortunately, scholars are not perfectly agreed as to the correctness of the attribution or the date of the text. I have not space to enter into the arguments but can only give here my opinion, an opinion which I think is shared by the majority of contemporary Indianists.[2]

The Arthaśāstra, it seems to me, like all other comparable Sanskrit *śāstras* of which we have more definite knowledge, is actually the product of a school or guild rather than of a single man. To be specific, it is the product of what one might call the Mauryan chancellery, of which Kauṭilya was the most famous representative. In its present shape it contains a few passages which may have been added after Maurya times, but the major portion of the text and certainly the basic theories and attitudes of the text derive from the Maurya empire.

Now, Kauṭilya's Arthaśāstra differs fundamentally from the religious tradition that I described above. In the first place its conception of government and law is profane. After quoting various other opinions, the opinion of Kauṭilya is given:

Kauṭilya holds that material advantage is the chief end, for the other aims of life, both religion and pleasure, depend upon it. (Arth. p. 12.)

Kauṭilya differs also from the authors of the religious legal tradition in advocating royal interference in all the concerns of the people. The king should not limit his interference to matters serving a religious end, but he should regulate the conduct of his people wherever it is to his advantage to do so. The result is a picture of government as elaborately organized and ramified as any that can be found in the ancient world. A simple list of the king's governmental departments will give some idea of this picture. Kauṭilya speaks of separate departments and supervisors for each of the following affairs:

Accounts; mining and metalwork; gold and coinage; ware-houses; commerce; forests; the armory; weights and measures; roads; toll-houses; weaving; agriculture; pasture-lands; spiritous liquors; slaughter-houses; prostitution; the navy; live-stock; passports; revenue; law; fortifications; and the special military departments of cavalry, elephants, chariots and infantry.

This bureaucracy is almost as elaborate as it is in a government of the present industrial age. Kautilya realizes the difficulty of supervising this

elaborate bureaucracy. He says,

Just as it is impossible not to taste the honey or the poison that finds itself at the tip of the tongue, so it is impossible for a government servant not to eat up at least a part of the king's revenue. Just as fish moving under water cannot be discovered to be drinking or not drinking the water, so government servants cannot be discovered when taking bribes in government work. (Arth. p. 70.)

Accordingly, an elaborate system of espionage is instituted to watch over the ministers and a system of counter-espionage to prevent them from being corrupted by foreign powers. There are informants, agents provocateurs, poisoners and assassins. The atmosphere is so thick with suspicion and fear of sudden death that one wonders why a man should seek to become a minister in such a state. Even the king is in constant danger. An older political writer quoted by Kauṭilya says,

Princes like crabs are apt to eat their parents. Accordingly, when princes are lacking in filial devotion they shall be secretly dispatched. (Arth. p. 32.)

It would be easy to multiply evidence of the police-state nature of Kauṭilya's government. But let me limit myself to a few items showing how it may have affected the common people who lived under it.

In the cities an official called a *gopa* (the name, significantly, means a cowherd) is entrusted with keeping records on each group of 10, 20 or 40 households. He must report the caste, family and occupation of every man and woman of these households as well as their income and expenditure. (Arth. p. 144.)

As regards the peasantry, Kauṭilya advocates the formation of villages by direct government colonization.

Either on new or old land, by bringing in foreign peasants or by employing his own excess population the king should plant colonies. (Arth. p. 45.)

The land in these colonies was given out for life but could revert to the king if his officials felt that the peasant was not working it efficiently.

Not only in these colonies, but throughout the empire the state was to appoint the village headman, who was subordinated through an elaborate chain of command to the central administration at the capital. This village administration was not only to prevent theft and mendicancy but was to see that no amusement halls were erected in the villages and that no dancers, singers or wandering actors and musicians entered the villages, "for in this

way the men will take pleasure only in their fields; and the king's revenue, forced labor, goods and crops can be increased" (Arth. p. 48.)

This development of *arthaśāstra* or profane law was as short lived in India as it was brilliant. The Buddhist emperor Aśoka (273–232 B. C.) may have helped to break down the brutal system which he inherited. This is largely guesswork. What is more certain is that the four centuries of invasion and foreign rule which followed shortly after Aśoka's death put an end for all time to a universal Hindu state. Kauṭilya's work was not entirely forgotten but it was never developed further in any respect. The only texts we have on profane law in succeeding centuries are in every way inferior to Kauṭilya. The kings of later dynasties preferred to rely on the older and safer tradition of religious law, only seasoning it to taste with a few bits of Kauṭilya's policy.

For this old religious law to serve state purposes it had to become divorced from the Vedic schools of its earliest period. This is just what we find in the lawbook of Manu and its numerous successors. The particular rules of various schools are combined and compromises are effected. The date of Manu is quite uncertain, probably within a century and almost surely within two centuries of the date of Christ. In it and in its successors the religious basis is present. But instead of forming four-fifths of the content as in the *dharmasūtras*, religion now forms perhaps a half. Disputes between different social groups have grown more frequent. We hear of arguments over land boundaries, between a tenant and his landlord, between a farmer and his herder of cattle. It is significant that the boundary disputes are mostly between neighboring villages rather than between individual villagers. This last sort of argument one presumes was regularly settled in the village itself. For the prominence given to cases between farmer and herder one must remember that these classes of people regularly belonged to different castes.

The theory of the king's authority is likewise developed in Manu and in even greater elaboration in the Mahābhārata, that enormous Sanskrit work which began as an epic and ended about A. B. 100 as an encyclopedia.[3] If the king was willing to renounce the material power of Candragupta his claims to religious sanctity were fully as high if not higher. A king is now regularly called an incarnation of divinity. Five or according to some texts eight gods are incorporated in him:[4] Sūrya, the sun god, which one can understand

from the king's resplendence,[5] Yama, the god of death and justice, for the king brings death to his enemies and dispenses justice to his people,[6] Varuna or Indra, because only under a good king does the rain fall from heaven,[7] and so on. It is difficult to say how seriously the Indians took this matter of royal divinity and the point has been much argued. My own feeling is that they took it seriously enough but that gods were not so awesome a thing to them as they may seem to us. There were thousands of gods, who were not essentially different from men; more powerful, but still subject to lust and hatred and death. One must note an important distinction: the Indians claimed their king to be an incarnation of gods, not of God. The king was no Vishnu on Earth like the kings of Cambodia.

The duties of this royal personage are partly as in pre-Mauryan times: to protect his people and dispense justice. But one aspect of this justice is greatly developed in the Mahābhārata. It is above all the duty of the king to preserve the four-fold nature of society. He must not only settle disputes between the classes; he must keep each class to its proper duties. He must see that no brahmin plows or trades, that no *śūdra* or tradesman enters the nobility or assumes brahmin functions. This four-fold classification readily passes in the ancient Indian mind from a social fact to a metaphysical truth. And just as it was thought that one could produce magical results by an act of truth, just so the king by inculcating rigid class distinctions within his state was supposed capable of bringing the world back to the golden age. It is the king, not history, which makes the change of epochs,[8] Could he perform his task perfectly, we should again live each man a thousand years and the crops would grow of their own accord.

There is an instructive tale in the Twelfth Book of the Mahābhārata, which tells of a king of the Kekayas seized by a demon. The king effects his escape by means of an incantation. This incantation is phrased just like the acts of truth that we hear of elsewhere, those poetical revelations of reality that spring to the lips of a man under ordeal or in some great crisis and that are capable of overturning the normal course of nature. Among the statements of the king are these (Mahābh. 12. 78):

In my kingdom is no unlearned brahmin, nor one who has failed in his vows nor one who drinks not *soma*; no, nor one who keeps not the sacrificial fire. [Leave me and] take possession of other than me and mine! (vs. 9)

Honored, granted donations, gentle, speaking truth, my brahmins follow their proper tasks. [Leave me and] take possession of other than me and mine! (vs. 12)

My nobles ask not, rather do they give; they teach not, rather do they learn; they perform not the sacrifice but pay for its performance, (vs. 13)

They protect the brahmins and turn not back in battle. They follow their proper tasks, (vs. 14)

[My commoners] live by plowing, herding and trade, without guile, careful and industrious, disciplined and truthful, (vs. 15)

My *śūdras* serve the three upper classes, properly and without grumbling. They follow their proper tasks. [Leave me and] take possession of other than me and mine! (vs. 17)

The demon then leaves the king in peace, for his kingdom has the supernatural power of truth.

This religious basis of law predominates through the rest of Indian history until modern times. This is not to deny the development of commercial law at the hands of later commentators or of an essentially profane theory of inheritance in the commentators and legal anthologists of the south and west. Whatever developments occur are still set in a religious framework. Commentators and anthologists begin with cosmology, go on to rules for Vedic study and the duties of the householder. The subjects of worldly law are always subordinated in their minds to larger or at least other interests.

It is well to point out the advantages of this Indian tradition, for I fear you will be struck at first by its vices. Since the 17th century we have not recognized the divine right of kings and lately we have become increasingly critical of class distinctions. The great virtue of the religious legal tradition of India was that it caused the state to interfere as little as possible with the individual. In most of his affairs the individual was guided and judged by his neighbors, his caste brotherhood, his village council or headman. Only in his dealings with the outside world was he subject to the king's laws as interpreted by the king's pundits. As John Mayne, the exponent of Anglo-Indian law puts it in the mouth of his village informant: "We observe our own rules. Where there is no rule we ask the pundits."[9] And the kings were as anxious not to interfere as the subjects were to preserve their own customs. One frequently has the impression that the administrators regarded lawsuits as a nuisance. Witnesses are fined for wasting time. In the Mahratta Confederacy, the last great Hindu state and, accordingly, the one of which our knowledge is most detailed, we know just how lawsuits were treated. Where a village dispute came before the king's officer his regular procedure

was simply to refer the case to the council of a neighboring village.[10] In this way he washed his hands of it.

This isolating, class-conscious society of India could be brutal in many ways, but it could also be marvellously tolerant. The *śūdra* who overheard a recitation of the Veda had boiling lac poured in his ears. On the other hand, so long as he stayed with his own castemen he could marry and hand on his property according to any system of which his castemen approved, he could drink his liquor which the brahmins abominated, and he could worship any god he pleased. The pundits were there to give advice if he asked for it, but they did not force it on him. This, it seems to me, is no small virtue.

SUPPLEMENT

The Law of Magadha and the Law of Ch'in

I should like to point out one parallel between the history of Indian law and that of another ancient civilization, for I have not seen it remarked on elsewhere. I mean the development of the Arthaśāstra in Magadha and the development of the legalists in the state of Ch'in in ancient China. Actually, the parallel extends much further than to law, in fact to the whole social and cultural history of the two states. Each state was the ultimate victor from a long period of warring kingdoms. This history can be traced more clearly in China. But we know that in India in 500 B. C. Magadha had recently conquered and incorporated her eastern neighbor, Anga. Shortly after that time she broke the Vajjian confederacy to the north. Next came the great kingdom of Kosala on the west, and this was followed by Avanti, still farther west. Finally, in the wake of Alexander's returning soldiers, Magadha under the new dynasty of the Mauryas swept across the whole of northern India. This was in 323 B.C., just 102 years before the state of Ch'in accomplished a similar hegemony throughout China. The victory of both states seems to have been due to the same causes: a ruthless foreign policy, an efficient, highly centralized administration, and an emphasis on the army. In both kingdoms the doctrine of the total state became popular. Every inhabitant should subserve the interests of the king. Every social action should be regulated by precise laws. These should be made clearly known to the inhabitants and enforced even at the cost of cruelty. This doctrine is expressed in the Arthaśāstra. It was expressed by the Ch'in legalists.[11]

From the moment of victory, however, the history of the two states diverges. In both states failure followed success. But these two failures are of different sorts. The dynasty of Ch'in fell in a few decades, execrated by every Chinese author whose works have come down to us. The Mauryas of Magadha maintained their position for a century and a half. But if *Machtpolitik* and the legal system of *Machtpolitik* seems to have been more successful in India than China on this account, a longer view of history, I think, will furnish a different result. While the dynasty of Ch'in soon disappeared, many of its principles of empire were taken over, whether

willingly or not, by the succeeding dynasty of the Han, and these principles continued to function in the political history of China from that time forward. In India, on the other hand, the principles of Kauṭilya were almost forgotten in the period of invasions that followed the fall of the Mauryas. It is true that in later times a strong dynasty occasionally tried to revive the 'Arthaśāstra' state. But the main stream of Indian history ran in a very different channel. From the end of the Maurya dynasty the typical Indian state was decentralized and socially isolating. That a religious orientation has been typical of Indian society could be shown in a hundred ways, of which I shall take only one. There are literally thousands of manuscripts of Manu, Yājñavalkya and Vasiṣṭa, while there have been found only three manuscripts of Kauṭilya's Arthaśāstra.

[1] *The Institutes of Gautama*, edited by Adolf Friederich Stenzler (London, 1876). The work has been translated into English by Georg Bühler in *The Sacred Books of the East*, Vol. II (Oxford, 1879).

[2] A summary of the various views put forth regarding the Arthaśāstra up to the year 1934 may be found in Benoy Kumar Sarkar: *The Positive Background of Hindu Sociology*, The Sacred Books of the Hindus Series Vol. XXXII (Allahabad, 1937), pp. 209–353. The references to the Arthaśāstra which I give below are to the Mysore text: *The Arthaśāstra of Kauṭilya*, edited by R. Shama Sastri, Government Oriental Library Series, Bibliotheca Sanskrita No. 37 (Mysore, 1909). The work has been twice translated. First, into English by its discoverer: *Kauṭilya's Arthaśāstra*, translated by R. Shamasastry, Government Oriental Library Series, Bibliotheca Sanskrita No. 37 Part II (Bangalore, 1915). This translation is in need of revision. Second, into German by Johann Jakob Meyer: *Das Altindische Buch vom Welt und Staatsleben* (Leipzig, 1926).

[3] References below to the Mahābhārata are to the critical edition, which is now half completed: *The Mahābhārata for the first time critically edited* by Vishnu S. Sukthankar (1925–1943) nad S. K. Belvalkar (1943–) (Poona, Bhandarkar Oriental Research Institute, 1925–). The English reader may form a very fair idea of the doctrine and attitude of the Mahābhārata from either of the two complete English translations: *The Mahābhārata of Krishna-Dwaipāyana Vyāsa, translated into English prose* [by Kesari Mohun Ganguli and others], *published and distributed chiefly gratis* by Protap Chundra Roy (Calcutta, 1883–1896); *The Mahābhārata translated literally from the original Sanskrit text, edited and published* by Manmatha Nath Dutt (Calcutta, 1895–1905). Both translations, however, are based on texts which contain insertions of a fairly late date.

[4] For the incorporation of five gods see Mahābh. 12. 68. 40 and Rāmāyaṇa (*The Ramayana of Valmiki, North-western Recension* [Lahore, 1928–1947]) 3. 43. 12; of eight gods, see Manu (*Manusmṛti* 3rd ed. [Bombay, Nirnaya Sagar Press, 1902]), 7. 4–7.

[5] *Tejas* or military resplendence is the peculiar property of the nobility, just as *tapas* or creational heat is the peculiar property of the priesthood. "The strength of the nobility is *tejas* (*kṣatriyāṇām balaṃ tejaḥ*)," Mahabh. 1.165.28. Accordingly, *tejas* is regularly attributed to the epic heroes, e.g. to Bhīsma (6.15.74), to Bhagadatta (6.17.36), to Krishṇa (*anantatejā* 6.21.14). Of a great warrior it is often said that no one can look at him; he is too resplendent (e.g. 6. 19. 12 and 33; 6. 55. 25; 6. 78. 11). So Arjuna is as hard to look at in battle as the sun (1. 1. 83). So also 1. 78. 6.

[6] The Ramayaṇa goes so far as to suggest that since kings are gods on earth they are really doing us a favor when they execute us, for we are thereby sent to heaven. (NW. Rec. 4. 14. 18–21.)

[7] This idea is common. See, four example, Mahābh. 4. 27. 15; 12. 29. 48; 12. 139. 9.

[8] Cf. Mahābh. 12. 139. 10.

[9] John Dawson Mayne, *A Treatise on Hindu Law and Usage*, 3rd ed. (Madras, London, 1883.)

[10] Cf. Surendranath Sen, *Administrative System of the Marathas*, 2nd ed. (University of Calcutta, 1925), page 351.

[11] Such as Shang Yang and Han Fei-tzǔ. The first of these was a minister of Ch'in between 359 and 338 B. C. and so was a contemporary of Kauṭilya. One may be sure that neither of these great ministers had heard of the other. Yet how close are their ideas of government will appear to anyone who reads their works. For Shang Yang see *The Book of Lord Shang* translated by J. J. L. Duyvendak (London, 1928).

THE HINDU PHILOSOPHY OF HISTORY

BY BUDDHA PRAKASH

History is a study of the past of man. This study has two stages: (1) the ascertaining of facts on the basis of a critical and scientific investigation of the evidence left by the past and (2) the finding of correlations and interconnections among the facts thus established. The second stage of the study of history relates to the arrangement and classification of facts in such a way as to bring out the tendencies or directions that they exhibit in their unfolding. These tendencies and directions of facts are then compared and correlated to find if they follow some pattern or system capable of being formulated in terms of laws, theories and formulae. Such attempts constitute the philosophy of historv. For making such attempts it is necessary, first, to regard the phenomena of human development as real and substantial rather than as illusory and shadowy and, next, to treat the process of the unfolding of these phenomena as dynamic and fluxional.

The Hindu view of life is commonly believed to be antagonistic to the historical approach enunciated above. In the whole range of Hindu literature we seldom come across a work of history written on scientific lines. Of course, the Purāṇas give long chains of royal genealogies and the Brāhmaṇas contain detailed lists of priestly families. In the epics, the *Rāmāyaṇa* and the *Mahābhārata*, we get a vast mass of ancient legendary lore and in the Pali canon of the Buddhists and the Ardha-māgadhi literature of the Jainas there are numerous references to old kings, battles and events as well as the outlines of the development of their respective churches. In secular and court literature there are some interesting chronicles like the *Harṣacharita* of Bāṇabhaṭṭa, the *Vikramāṅka-devacharita* of Bilhaṇa, the *Navasā-hasānkacharita* of Padmagupta, the *Kumāra-pāla charitas* of Jayasingh and Hemachandra, the *Rāma-Charita* of Sandhyākara Nandin, the *Gauḍa-vaho* of Vākpati and the *Pṛithvīrāja-Vijaya* of an anonymous writer. But these works are full of epic adulation, colorful descriptions and courtly exaggeration. They do refer to important events but they clothe them in poetic vestures so as to deprive them of their

historical character. Only the *Rājataraṅgiṇī* of Kalhaṇa is a notable and solitary exception. In it the author follows the critical and analytical method which covers the first stage of the study of history, as stated above. He pleads for the dispassionate investigation of facts and follows a scientific method of historical criticism. The following quotations from his introductory chapter clarify his methodology:

> That virtuous poet alone is worthy of praise who, free from love or hatred, ever restricts his language to the exposition of facts…. I have examined eleven works of former scholars which contain the chronicles of the Kings, as well as the views of the sage Nīla (Nīlapurāṇa)…. By the inspection of ordinances (śāsana) of former Kings relating to religious foundations and grants, laudatory inscriptions (praśasti-paṭṭa) as well as written records (śāstra) all wearisome error has been set at rest.[1]

But despite his excellent equipment and scientific method, Kal-haṇa was unable to reconstruot the early history of Kashmīra. His account of the period preceding the seventh century cannot be regarded as wholly trustworthy though it contains precious information which when checked with the help of other materiāls becomes of paramount importance to the modern historian. The Pāli chronicles of Ceylon *Mahāvaṁsa* and *Dīpavaṁsa* are likewise bare accounts of kingly successions interspersed with stray references to Church history. Despite all these works of historieal character, the fact remains that most of the glorious figures of Indian history have paled in the dimness of fable and romance. Buddha, Mahāvīra, Chandragupta Maurya, Ashoka, Vikramāditya, Kālidāsa, Shankarāchārva and a host of other monarchs, thinkers and writers are to us no more than shadowy figures of fairy-tales. Notwithstanding the early recognition of historieal literature on a footing of equality with the Vedic literature as is manifest from the inclusion of history (*itihāsa-veda*) among the seriptures to be read during the recital of the cycle of legends (*pariplavākhyāna*) on the occasion of the horse saerifice (*ashva-medha*),[2] it is an undisputed fact that we have no connected account of the history of the Hindus written by them in their own language, much less a history of other peoples and countries of the world from their pens.

This seemingly historyless character of Hindu genius is the outcome of the fundamental postulates of the thought and civilization of the Hindu people. The Hindu view of life is based on an organic conception of nature. According to it nature is so organically constituted that all its acts emerge from the convergence of the funetions of its whole system and eifect in

turn, the working of its whole process. A seed sprouting and growing into a tree evokes and involves the operation of the whole scheme of being. Its development depends on elimatic action, alluvial funetion, osmotic process and favorable environment no less than on the potentiality of the seed. This view of organic causation is best enunciated in the philosophy of Sāmkhya-yoga. Starting from the metaphvsical premises of neutral pluralism, according to which mind and matter and all their effects, relations and developments are diverse kinds of aggregates of the ultimate reals, the guṇas, yoga philosophy has come to hold that causation signifies the self-determination of the organized whole. The self-determination of the whole is also the self-determination of the parts and vice versa. The tendency that guides the mode of evolution of an entity is on the one hand the actualization of its potentiality and on the other its subordination to the history of the development of other component entities in the interest of the total cosmic development of which every individual development is a part and towards which it has a tendency.[3] As in Yoga so in Vedanta the ooncept of causation means the multiplieation and diversification of the essential Absolute (*Brahman*) through illusion (*Māyā*) and superimposition (*adhyāsa*). The merging of the world of time, place and causality in the being of brahman is tantamount to a rejection of the idea of individuality (*ahaṁkāra*) as a causal factor.[4] Even in the realistic system of nyāya-vaishesika, which postulates the ultimate reality of atoms as the material cause of the world, a supreme dynamic principle pervading and asserting itself in it is conceived as its final cause.[5] In Buddhist philosophy cause is defined as a combination of circumstances (*pachchaya-sāmaggi*) and the conception of cause as a single self-contained factor or agent is rejected. Accprding to this view nothing self-dependent or possessed of soul exists. Everything that exists or appears is a phase of the universal flux, that is to say, every object is a form of the inter-dependence of the system of being. An individual is a mere creation of saṁskāras or an aggregate of the skandhas. His claim as a creator or doer (*Kāraka*) or a knower (*Vedaka*) is illusory and unsound.[6]

The organic conception of nature implicit in Indian philosophy expresses itself in the idea of the primeval being (*ādiparuṣa*) adumbrated in *Ṛigveda* X, 90 and of the macrocosmic being (*virāṭrūpa*) developed in *Bhagvadgitā* XI, 32–34. In the suggestive imagery of the primeval being of the *Ṛigveda*

there is a linking of social factors with physical forces through the medium of a cosmic order. There, the unity and system of the cosmic order is represented as a person from whose limbs the phenomena of nature emanate. The priestly class (brāhmaṇas) emerges from his mouth, the ruling class (rājanya) from his arms, the traders and agriculturists (vaishyas) from his thighs and the servile people (shūdras) from his feet. The moon springs from his mind, the sun from his eye, Indra and Agni from his mouth and the wind from his breath. Space issues from his navel, the sky rolls from his head, the earth sprawls from his feet and the directions spread out from his ears.[7] Thus the entire scheme of being comprehending the social as well as the physical phenomena is concentric and unified.

As in the *Ṛigveda* so in the *Bhagvadgītā* the grand and majestic spectacle of the macrocosmic being comprising the processes of the whole universe in the functions of his body is presented in an epic style. The macrocosmic being is the whole cosmic system personified. He shines in the sun and thunders in the clouds; he breathes in the breezes and blows in the blizzards. He is both birth and death and the quintessence of all that exists. It is as his instruments that the warriors fight in the battle and it is at his instance that they kill each other. The role of the individual is only to act as a means to execute his will or to behave as a *nimittamātra*.[8]

From the aforesaid standpoint of Hindu philosophy the historical process is something which develops of itself in an autonomous manner transcending and carrying in its sweep the individuals participating in it. In other words, historical evolution is a flow and convergence of impersonal or transpersonal forces, which are capable of being expressed in organic categories or biological images. This is tantamount to the view that movements and not men make history. This view implies that historical events are the results of the needs, actions and volitions—conscious and sub-conscious—of a large number of individuals constituting a society, who cannot be separately named or described. The development of the needs, actions and volitions of the people as a whole proceeds in correlation and copresence with the course of material environment. It conditions and is conditioned by external circumstances. This interdependent development of human spirituality and material environment finds its expression in a series of individuals who chance to be at the points of vantage that qualify them for their respective rôles. In the words of Morris R. Cohen these "great men

are the points of intersection of great social forces."[9] This view of history is analogous to what Koyré calls the Romantic conception of history which became popular in Europe in the nineteenth century as a reaction to the Enlightenment view of history which found its superb expression in the thought of Condorcet.[10] This is the view that Ibn Khaldūn in the fourteenth century, Vico in the seventeenth century, Marx in the nineteenth century, and Spengler in the twentieth century held and expounded.

A prominent characteristic of this conception of history is an arrangement and classification of historical events into ages, epochs and periods which unroll themselves in cyclical or linear movements. In ancient Greece Plato contemplated a World cycle of 360,000 solar years during which the creator guides the course of events, and after which he relaxes his hold of the machine and a period of the same length follows during which the whole world gradually degenerates. When this process is complete the creator restores the original condition and a new cycle begins. Hesiod and Aratus periodized the history of man from the standpoint of the rise and fall of Diké, which corresponds to the Indian conception of Dharma. In the fourteenth century the Arab thinker Ibn Khaldūn divided the life of an empire into three generations of forty years each. In the first generation the people remain nomadic, in the second they become sedentary and in the third they lapse into luxury. At this stage their independence comes to an end and they fall before the invasions of other nomadic peoples.[11] In the early eighteenth century Vico classified history into three periods: heroic, classical and neo-barbaric. He, however, held that this movement is linear rather than circular.[12] After Vico, Auguste Comte divided the process of historical development into three stages characterized by theology, metaphysics, and positive sciences. Among other attempts at classifying history into fixed periods that followed those of Vico and Comte the most important are those of Oswald Spengler and Arnold J. Toynbee. Spengler breaks up the process of history into separate units called cultures which "are living beings of the highest order"[13] and divides their life into fixed periods: primitive stage, heroic age, classical period, decadent phase and neo-barbaric epoch. Toynbee calls the units of history "civilizations" and classifies their development in four stages: age of growth, time of troubles, universal state and interregnum.[14] Besides these theories there is a large number of similar attempts at formulating the "laws" and "rhythms" of

historical development, which throw light on the methodology inherent in the organic conception of history which lies at the basis of the historical philosophy of the Hindus.

With this background of historical philosophy we can easily understand the Hindu system of epochs and periods. The traditional division of the historical process according to the Hindus is four-fold, *Kṛita, tretā, dvāpara* and *Kali*. In the first age virtue (dharma) reigns supreme, in the second it declines, in the third it becomes sparse and in the fourth it disappears. According to the Jainas there are two eras (Kalpa) *avasarpiṇi* and *utsarpiṇī*. In the former virtue goes on decreasing until in the end chaos reigns supreme and in the latter it goes on increasing till it reaches the highest point. Both of these eras are further sub-divided into six periods (Kālas), viz., (1) *susa-māsusamā* (the period of great happiness), (2) *susamā* (the period of happiness), (3) *susamā-dusamā* (the period of happiness and sorrow), (4) *dusamā-susamā* (the period of sorrow and happiness), (5) *dusamā* (the period of sorrow), and (6) *dusamā-dusamā* (the period of great sorrow).[15] Corresponding to the jaina eras and ages are the Buddhist four great and eighty smaller Kalpas, which are the acts and scenes of the drāma of the successive creations and dissolutions of the Universe. While the jainas have followed the Brahmanic model of the day and night of Brahman, the Buddhists have adopted the system of the four yugas.

This cyclical succession of the ages is not merely a mechanical process analogous to the fixed recurrence of natūral phenomena but is essentially a moral order based on the actions of men. The distinguishing feature of the Hindu conception of the periodic classification of history is its moral import and ethical tenor. According to it the duration of the ages is not chronologically immutable but rather depends upon the actions and character of the people. In other words, the succession of ages is symbolic of the psychological development of man and represents the stages of the moral progress of mankind. This view of the historical ages is best enunciated in an old text pertaining to the *Ṛigveda*, called *Aitareva-Brāhmaṇa*. In it, in a parable of the animosity of Indra and King Harischandra, the former gives a very interesting discourse to the latterVson Rohita, exhorting him to keep moving without relaxation. In course of this very suggestive discourse he observes, "the fortune of a sitting man is stātie, of an idle man becomes stili, of a sluggārd śleeps and of a moving

man moves forvvard. *Kali* is sleeping, *Dvāpara* is shaking off (of the sleep), *tretā* is rising and *Kṛita* is moving. The moving man gets honey and tastes the fruit of Ficus glomerata. Look at the glory of the sun who never stops moving."[16] In this exhortation the succession of historieal periods is equated with the unfolding of the psychological stages of man. The phenomena of sleep, awakening and activity which constitute the cyclic routine of the life of man are stated to underly the turnover of the periods of history. Thus *Kali* is the "*age of sleep*," *Tretā* and *Dvāpara* are the "*age of awakening*" and *Kṛita* is the "*age of activity*." On this showing the process of history characterized by the rhvthmic succession of periods is the counterpart of the daily life of man marked by the recurring phenomena of sleep, awakening and activity. As every individual acts, sleeps and awakes so every group of individuals also feels the urge of aotion, exhaustion and again of action. There is thus a unique harmony and symmetry between the tendency of an individual and that of a group of them. We can perceive the working of the rhythm of action, sleep and awakening in the histories of castes, states, regions, institutions and even cultures. In my book on *Toynbee's Philosophy of History* I have tried to notice the beating of this rhythm in the history of cultures. Here I only want to outline the broad features of historical development that an approach from this standpoint of activity, sleep and awakening unveils.

While dealing with the behavior of groups of individuals, we have to apply the analogies and parallels drawn from the life of individuals in a somewhat figurative way. Of course, a number of individuals compose a social group and their behavior necessarily conditions its character, but that group comes to possess a supra-individual identity in virtue of which it follows its own way of conduct which is in some respects different from that of the individuals composing it. Hence when we speak of the activitv, sleep and awakening of social groups we mean thereby the alertness, inertia and reinvigoration of a large number of individuals that compose it. It is from this standpoint that we have to study the periodized arrangement of history according to the Hindu conception.

The aforesaid discussion has shown that history is a collective and impersonal process acoording to the Hindu view of life. This means that the totality of the individuals composing and participating in it shapes its course. The persons who occupy prominent positions act only as the

instruments of the will of the people aa a whole. Hence it follows that when the people as a whole are active, it is the "*age of activity*," when they are not active and lapse into inertia, it is an "*age of sleep*"; and when they again become active and shake off their inertia, it is an "*age of awakening*" Let us now see how the transition from one age to other is effected.

We have seen that in an age of activity every section of the people is up and doing and every field of social activity buzzes with agility and alertness. Hence the persons at the helm of affairs cannot afford to ignore the interests and aspirations of the people. The form of government may be monarchy, oligarchy or republic, but the people as a whole are a force to reckon with and the government cannot bypass them. In other words, so long as the people are behind the government it continues to function and when they rise against it, it ceases to exist. This force of the people is the real basis of what we call "democracy." As long as this force persists, every government, whatever its outward form or constitutional apparatus, has to base itself on a democratic *raison d'être*. As a result, it is strong, united and popular. When this force is withdrawn, a government, though it may make a show of ascertaining the will of the people through elections or referenda or plebiscites, loses its fundamental democratic character and becomes a dictatorship of those who chance to hold its key-points. As a consequence it is weak, divided and unpopular.

Secondly, in a period when the people as a whole are active, social institutions are characterized by mobility and broadness. A person having a particular bent of mind gets the necessary scope to develop and express it. Society provides the institutional channels to direct this development and expression. But when the people cease to be active, social institutions are marked by rigidity and narrowness. Persons do not get the necessary scope to develop and express their individual potentialities; instead of directing this development these institutions clog it. The social horizon shrinks and becomes parochial.

Thirdly, the period when the people are active is marked by notable contributions and achievements in all fields of activities, e.g., philosophy, science, art, literature, technology, cultural expansion and social development. But when the people cease to be active, the faculty of making creative contributions flags away. In the field of human activities, the

atmosphere of imitation and affectation spreads widely, cultural expansion stops and social development is stunted.

Fourthly, when the people as a whole are active, they are moved by a faith, which impels them to creative activity. When they cease to be active that faith dries up and gives place to escapism and apathetic indifference.

Thus we observe that when the people cease to be a powerful and regulating force behind the state, social institutions are marked by rigidity and immobility, the outlook of the people becomes narrow, the creative element in the arts and humanities fades away and the religions preach escapism, the *"age of activity"* lapses into the *"age of sleep"* And when these processes take a reverse course, that is, the people struggle to be active, to assert themselves in political affairs, to make the social institutions mobile, to render the arts and humanities creative and to treat religion as conducive to social good, the *"age of sleep"* passes into the *"age of awakening."*

Let us now see if the history of different societies is capable of being demarcated after the pattern suggested above in the light of the tendencies of Hindu thought under consideration. Let us begin with Indian History.

Looking at Indian history from the standpoint enunciated above, we stumble upon 647 A.D. as a turning point. In the period preceding this date we watch the impressive spectacle of the intense activity of the Indian people in all walks of life. When tyrants ascend the throne, they are deposed, when royal dynasties detract from the norm of conduct, they are overthrown. Traders, sailors, missionaries, artists and colonizers cross the high seas of the south and the arid deserts of the north and spread their culture in Indonesia and Indochina on the one side and the Tarim basin along the silk-route on the other. Religious missions and political embassies visit the countries of the West and the East and there is a brisk process of contact and intercourse between India and the outside world. India adopts much of Western culture in the domain of science and arts and contributes a great deal to it in the sphere of religion and thought. But gradually the horizon shrinks and by 647 A.D. the date of the death of Harṣa, it narrows down to very parochial limits. People develop a narrow regional outlook. Kings and captains, moved by motives of selfish aggrandizement, quarrel and kill each other; the people, blinded by the pall of inertia that has fallen

upon them, follow them without any perspective or objective. Regional jealousies are paralleled by sectarian bickerings and perpetual military contests are matched by religious intolerance. In the arts, crafts, philosophy and literature there is a sway of stereotyped subtleties. Castes grow tight, contact with the outside world is shunned, religions preach escapism and a sense of weariness broods over the people.

In 1198 A.D. the Hindus are finally crushed in the battle of Taraori and the Turks and Afghans converted to Islam establish their hegemony over India. But they themselves are a projection of the decadent spirit of India. As held by scholars like Prof. Mohammad Habib, Muslim rule in India was a system of foreign domination and exploitation. There was undoubtedly a temporary spurt in arts and culture in the time of, say, Akbar or Shāhjahān but the general sleep of the people could not be shaken. The chaos of the eighteenth century brought to the surface the deep degeneration of the people. The Marathas did make a bid to resuscitate the ancient culture and state that were interrupted by the Muslim conquests, but they were also steeped in the decadence of medieval times. Hence they could not hold their own against the new-comers from the West who took over the traditions of a foreign domination from the Muslim Turks. But their impact quickened the minds of the people, first the Hindus and somewhat later the Muslims, into a new awakening which can be dated from the halcyon peace that followed the suppression of the uprising of 1857, and which reached its highest point in the attainment of independence in 1947 by the Indians. A glance at modern independent India reveals the jazz and buzz of a new age of activity that is attaining its full momentum.

The same rhythm is also perceptible in Europe. The brilliance of Hellenic culture which dazzled the world in the form of the invasion of Alexander the Great and the consequent defeat of the mighty Achaemenian empire, burst forth in a remarkable development of art, science and philosophy. Plato and Aristotle, Hippocrates, Eratosthenes, Apollonius and Hipparchus, Hero, Archimedes and Herophilus made their age memorable with pioneer work in philosophy, politics, geography, mathematics, astrophysics, mechanics, physics and medicine. The swiftness with which constitutions and governments were changed, the experimental attitude which takes nothing for granted and the somewhat fleeting and unstable texture of life which the Greeks exhibit show the age of activity in Europe at its zenith.

But after the battle of Actium in 31 B.C. the scene changes. Caesars appear as gods incarnate and compel the people to worship them as such. The idea of democracy is gradually deprived of all substance. The Roman empire becomes a gigantic system of the tyranny and exploitation of the rich over the common man. Society becomes stiff-necked and stereotyped. The man who brings the grain of Africa to public shores at Ostia, the baker who makes it into loaves for distribution, the butcher, the purveyor of wine and oil, the man who feeds the furnaces of public baths are bound to their callings from one generation to another. The mentality of the lower classes was based exclusively on religion and was hostile to the intellectual achievements of the higher classes. Orosius in the *Seven Books of History against the Pagans* has written an epitaph on the fall of the pagans as a consequence of their heretical character. But the advent of Christianity did not signify any turnover in the course of history. In 390 A.D. Theophilus got the library of Alexandria burnt and in 415 A.D. Hypatia the Mathematician, daughter of the Alexandrian astronomer Theon, was mercilessly tormented by Christian fanatics. This age of sleep ended when the impact of Islamic thought brought home to the people of Europe the message of the Greek thinkers. As a result, there was the Renaissance, the Reformation, the progress in science, the great conquests of the ocean and the discovery of new lands. The Iberian peninsula which fell under the domination of the Muslims was so much invigorated by their contact as to rival the achievements of its conquerors by exhibiting a great expansionist spirit in the Old and New Worlds. By the end of the seventeenth century Europe realized the futility of religious wars and entered into a phase of secular culture. The dignity of man asserted itself in the French Revolution and the Reform movements of Great Britain. The high ideals of justice and the dominating passion for science that characterized the culture of the West won the appreciation of such persons as the great Egyptian historian Al-Gabarti, the contemporary of Napoleon. Thus with the fall of the Bastille the age of awakening developed into an age of activity.

Similar trends can be observed in the History of the Middle-East. The age of activity which manifested itself in the growth of cities, the construction of temples and the progress in writing, laws and commerce, art, engineering enterprises and astronomical observations came to an end with the death of Hammurabi. In the long age of sleep that followed, the Kassites, Assyrians and Neo-Babylonians ruled in spite of the will of the people. There was, no

doubt, a shake-up under the Achaemenians and the Seleucids but the age of awakening really came with the advent of Islam. This religion embodied a new and great conception of the unity of God and the equality of his followers and breathed a new life into the bodies of old cultures. With a great stir the Middle East awoke and embarked on a tremendous movement of creativity in religion, philosophy, science, art and literature. Damascus and Baghdad rose to the heights of Babylon and Nineveh. But the coming of the House of Abbas to the helm of affairs signified the predominance of Persian culture and politics. Thus the decadent shadows of Sassassian Iran spread over Islam. After the death of Harun-al-Rashid (763 A.D.–809 A.D.) the dismemberment of his empire started. The Tāhirids, Saffarids, Samanids, Seljuquids, Kwārazmians and Changezkhanids gradually assumed full-fledged sovereignty and reduced the caliphate to a shadow. These nomadic peoples caused Islam to signalize loot and plunder and they brought havoc to the civilized countries of the Middle-East. The historian Ibn-al-Athir, the geographer Yaqūt-al-Hamawi and the philosopher Ibn-Khaldūn have drawn vivid pictures of the decadence of these Islamic societies. The age of awakening in these countries dawned with the initiation of a program of Westernization by the Ottoman Statesmen, Selim III, Mahmud II, Mehmed Ali of Kavalla and Mustafa Kemal Ataturk.

These studies are sufficient to throw fight on the methodology that the Hindu conception of history implies. According to it, we can trace the succession of these ages in the history of all societies, groups and countries. In China, for instance the age of sleep came in the latter half of the 8th century under the later Tangs and the age of awakening dawned in 1911 A.D. with the establishment of a democratic Republic under Dr. Sun yat Sen. In Egypt the age of sleep came after the death of Akhenaton and the age of awakening shimmered with the process of westernization set a foot by the Ottoman Statesman Mehmed Ah of Kavalla, there being brief periods of brilliance, for instance, under the Ptolemies and Mamelukes. In this manner this process can be traced in the history of every country and culture.

In describing the rhythm of history as the succession of the ages of activity, sleep and awakening I have followed the nomenclature adopted by the *Aitareya-Brāhmaṇa* in the interpretation of the four traditional ages of Hindu chronology. But I do not mean to suggest that the author of this text

conceived of the process of history on the basis of the above interpretation just as I have done. Yet there is no doubt that the four ages did not signify to him fixed and predetermined periods of time that are bound to run their set courses in spite of the efforts of man; rather, they meant to him the stages of the moral and mental development of man in which human effort is the primary determining factor. That this conception was not always overlooked is manifest from the fact that according to the traditional belief the defeat and expulsion of the Śakas by Vikramāditya in 58 B.C. marked the beginning of the Krta-yuga or the age of truth. The Vikrama era was, for several centuries after its advent, called the *Krita* era. Later on when Yashodharman Viṣṇuardhana crushed the Hūṇas in the 6th century A.D. he was conceived of as the Kalki avatara or the incarnation of God that is destined to appear at the end of the Kali age, as has been convincingly shown by the famous Indologist K. P. Jayaswal. Still later in the latter half of the 17th century the advent of Shivaji was hailed as the coming of the divine incarnation signifying the end of the Kali age. Thus we observe that in spite of the traditional fixed periods of history which constitute the bedrock of the chronology of the *Purāṇas* the conception of these periods as phases of the moral and mental progress and regress of man was present in the minds of the Indian people. They stressed the moral aspect of the historical periods besides their chronological conception and the way in which this view was possible was the belief in the rise and fall of virtue (dharma) as the basis of the succession of ages. When virtue (dharma) was once accepted as the basis of the periodic arrangement of history, the freedom of human will and effort followed as a corollary. Hence a moral footing was given to a natural process. How this conception embodying a synthesis of moral and natural phenomena can be made the basis of a philosophic study of history has been the aim of this essay.

Farrukhabad, India.

[1] *Rājataraṅgiṇī*, I, 7, 14, 15.

[2] *Shatapatha-Brāhmaṇa*, XIII–4–3.

[3] S. N. Dasgupta, *Yoga Theory of the Relation of Mind and Body* (*Cultural Heritage of India*), I, 386.

[4] Subramania Aiyer, *The Essentials of Vedānta* (*Cultural Heritage of India*), I, 527.

[5] Satkari Mookerji, *The Nyāya-Vaiśeṣika System of Philosophy* (*Cultural Heritage of India*), I, 409. The position of Hindu Philosophy is summed up in the *Bhagvadgītā* (III, 27) as follows: "All acts are brought about by the elements of nature. Only that person whose soul has been smothered by egoism considers himself the creator."

[6] *Ashvaghoṣa: Saundarānanda-Kāvya*, VII, 20–21.

[7] *Ṛigveda*, X, 90, 12, 14.

[8] *Bhagvadgītā*, XI, 32–34.

[9] Morris R. Cohen, *The Meaning of Human History*, 220–221.

[10] Alexandre Koyré, "Condorcet," this *Journal*, IX (1948), 134–135. See my *Toynbee's Philosophy of History*.

[11] Abdur-Rahman ibn-Khaldun, *Muqaddāmat*, French translation by Baron de Slane, *Prolégomenes d'Ibn-Khaldoun*, I, 286, 347.

[12] R. G. Collingwood, *The Idea of History*, 67. Baston Bouthoul, *Histoire de la Sociologie*, 37–38.

[13] Oswald Spengler, *The Decline of the West*, I, 29.

[14] Arnold J. Toynbee, *Civilization on Trial*, 9.

[15] *Jambudipapaṇṇati* (Bombav, 1920), XVIII, 40.

[16] *Aitareya-Brāhmaṇa*, Ch. 33, Khaṇḍa 3.

John Taber

THE SIGNIFICANCE OF KUMARILĀ'S PHILOSOPHY

One of Wilhelm Halbfass's most important contributions in *Tradition and Reflection* is the disclosure of the ethical dimension of the thought of the great Mīmāṃsā thinker Kumārilabhaṭṭa. While previous studies of Bhāṭṭa Mīmāṃsā have focussed on epistemology, metaphysics, and philosophy of language, Halbfass opens up a new area of investigation, with his essay "Vedic Apologetics, Ritual Killing, and the Foundations of Ethics,"[1] by discussing Kumārila's views on the sources of our knowledge of right and wrong. This constitutes a welcome and appropriate correction; for, certainly, ethics – more precisely, *dharma* – was the matter of greatest significance for Kumārila, that which his writings are ultimately dedicated to explicating and defending. All other aspects of his system can be seen as subordinate to this topic. Mīmāṃsā is, after all, as the first *sūtra* of the *Mīmāṃsāsūtras* announces, an "inquiry into *dharm*"1 (*dharmajijñsā*).

In this essay I wish to reflect on the results of Halbfass's exploration of this aspect of Kumārila's thought from a philosophical perspective. That is to say, I wish to consider what significance Kumārila's views on the nature of *dharma* and its sources might have for us now. To some readers, the suggestion that Kumārila's thought might have any bearing on contemporary philosophical concerns will initially seem implausible, since our historical situation, certainly, must be quite different from Kumārila's (though we do not really know what Kumārila's was); but I hope that what follows will bear it out.

I shall begin by summarizing the most important ideas of Kumārila to which Halbfass draws our attention in his essay.

In the context of discussing the Syena ritual, in the *Codanāsūtra-adhikaraṇa* of his *ŚSlokāvdrttika*, Kumārila considers the charge raised by heterodox thinkers that any killing, even that which occurs during a Vedic sacrifice, is *adharma*. This he strenuously denies. The Veda itself is the only criterion of right and wrong. What is prescribed by the Veda is right; what is

prohibited is wrong (242c–243a); what is neither is neither.[2] There are no other, independent criteria. We cannot *see* at the time a sacrifice is performed that such an act is not beneficial. (*MīS* 1.1.2 defines *dharma* as "a [beneficial] purpose (or: thing) (*artha*) indicated by an injunction," *codanālakṭaṇo 'rtho dharmaḥ*.[3]) Certainly, the beneficial nature of an act, which has to do, strictly, with its future effect on the agent, is not something accessible to perception (233). Nor can one reliably *infer* that, because an act causes pain to another being, it will eventually cause pain to oneself (234c–236b). Cause and effect do not always resemble one another. In general, rather, the result of a particular action, also, is whatever the Veda says it is (237c–238a). Principles such as "being helpful or agreeable" (*anugraha*) to another person or being in harmony with one's conscience (*hṛdayakrośona*) are not reliable guides to right and wrong, either. They would not serve to tell us, e.g., that illicit sex is bad or the reciting of *mantras* good (243c–245b), and *mlecchas* could use them to justify their customs as *dharma*, too!

The opponent objects that certainly the Veda intends to teach in general that injury to living beings is bad. Surely, its explicit condemnation in certain cases – most notably, the killing of a Brahmin – is meant to extend to others (249c–250b). But Kumārila denies that scripture asks us to attempt to ascertain the underlying principles of its prescriptions and prohibitions.[4] Everything depends on the details. Does a *śūdra* go to hell by drinking liquor? No; for that is prohibited only for the higher castes. Or would a result accrue to a Brahmin or a *kṣatriya* through the *vaiśyastoma*? No; for that rite is prescribed only for *vaiśyas*. Would one derive any benefit by performing an *iṣṭi* on the fifth day of the month (when it is prescribed for either the new or the full moon), or the *agnihotra* (which is to be carried out at sunrise) in the middle of the day (252c–254b)?! An effect will follow only from the kind of action that scripture indicates as having the capacity to produce it (254c–255b). while, indeed, a general notion of the wrongness of injury to living creatures may be conveyed by prohibitions such as that against killing a Brahmin, it will be set aside by any specific injunction to perform a certain sacrifice that involves killing.

Halbfass summarizes on the basis of this and other passages from the *Ślokavārttika* and *Tantravārttika*:

Ahiṃsā is not a rule which in itself alone would be "rationally" or "morally" self-evident; it is itself valid only insofar as it is scripturally enjoined. And even in this sense and on this basis, Kumārila does not like to present it as a universal, *prima facie* valid rule which would have to be modified by a specific clause such as the traditional *anyatra fīrthebhyaḥ*, "elsewhere than at sacred places," i.e., "if not during rituals" … In this as well as in other cases, "morality" is derived from "legality." The moral claims of ahiṃsā are rooted in scriptural prohibitions. Such heretics as the Buddhists and the Jainas, who advocate ahiṃsā against the Vedic ritual injunctions, owe the basis and starting point of such anti-Vedic teachings to the Veda itself. Only, they have misused or misunderstood the Veda, have falsely universalized its prohibitions and have disregarded the internal differentiation of its *dharma*… (TR, p. 95f.)

Thus, we could say, Kumārila attempts to remove *dharma* from a sphere of discourse that is subject to the vicissitudes of human reasoning and feeling. The Veda is the sole, absolute authority in regard to *dharma*. If other principles are recognized alongside it – say, that of providing benefit to others – then even the absurd practices of the so-called Saṃsāramocakas, who claimed to help other people by torturing and killing them and thus liberating them from their bad *karman*, could be defended as *dharma*![5]

Kumārila is aware of the possibilities of rationalizing hiṃsā as well as ahiṃsā. He knows about the temptations to justify a tradition in terms of its common familiarity (*lokaprasiddhi*), its acceptance by "important" (or numerous) people (*mahājanaparigṛh012B;tatva*), its accordance with ancestral habits (*pitrādyanugama*). But he also knows that others can claim these same criteria, related to other "continents," areas outside India, in support of their own views… To defend the Vedic *dharma*, including its animal sacrifices, just in these terms would amount to abandoning it. It has to be accepted in its own right, without relying on external, merely human and potentially relative standards. Only the Veda itself can uphold the identity of its *dharma*. Only the Vedic injunction (*codanā*) can save *dharma* from the "jaws of non-being" (*abhāvavaktra*). (TR, p. 111)

In sum, we can say that the means of true knowledge of right and wrong for Kumārila is not reason or conscience or any other human faculty – certainly, not perception! – but only scripture, specifically, the Veda. Right and wrong are not reducible to any more fundamental principle than that of being prescribed or prohibited by the Veda. while the Mīmāṃsā texts suggest that the Veda prescribes acts *because* they are conducive to one's "welfare"[6] – that is to say, the acts are not ends in themselves[7] – nevertheless, it is only the Veda that can tell us what such acts are. For all practical purposes, then, the approval or disapproval of the Veda is the only criterion of right and wrong.

The modern reader will initially find such a view unacceptable, primarily because it would appear to put an end to discourse about good and bad. We may not be confident that we can ever determine with finality what those are, but we feel that our humanity somehow depends on being able to think and talk about them.[8] Are, indeed, human reason and feeling completely unreliable when it comes to matters of right action? Can we not learn to employ reason correctly in matters of morality; can't our intuitions and sentiments be educated and cultured? And can't we, subjecting moral judgements to criticism, correct them? Must we indeed renounce the possibility of basic, interculturally shared principles of moral evaluation, of joint reflection about norms on the level of fundamental principles? Must we resort to an incomprehensible, dictatorial source of ethical judgements, to deliverances *ex cathedra*? For such seems to be Kumārila's proposal.

One must bear in mind, however, that at the basis of Kumārila's insistence on the absolute, exclusive authority of the Veda with regard to *dharma* is the conviction that *humans simply cannot know independently what is right or wrong*. This conviction is based in turn on certain essential epistemological doctrines, first of all, a staunch empiricism. Kumārila – Mīmāṃsā in general – holds that all knowledge other than that gained from scripture is derived from sense perception,[9] while sense perception occurs only when an object stands in contact with a sense organ (*MīS* I.1.4; *ŚV Pratyakṣa* 18, 20). Thus, there is no human knowledge of the supersensible, of things in the future or beyond this physical world. *In particular, there is no direct human knowledge of what effect an action will have at a future time – perhaps after death – hence, of its value for the agent, i.e., whether it is ultimately conducive to heaven or prosperity*. In this connection Kumārila

explicitly denies the possibility of supernormal, yogic cognition (*ŚV Pratyakṣa* 26–32). More importantly, he denies the possibility of human omniscience. The Buddhists and Jainas appealed to the latter in grounding the authority of their own scriptures, arguing that we know that they contain true statements about the supersensible, in particular, about *dharma*, because their authors (the Buddha or the Jina, respectively) were omniscient beings. Kumārila's critique of this doctrine, one of the most polemical passages of his entire corpus,[10] is based on a hard-nosed empiricist denial of any human cognitive capacities other than those with which we are familiar in common experience.[11] Kumārila, in fact, is skeptical, even cynical, about human testimony in general. "Men are always for the most part speakers of untruth," he says at one point in this discussion (*ŚV Codanā* 144ab). No human statement can stand on its own but must always be supported by a judgement that the witness is at least in a position to know that of which he speaks (i.e., is in possession of a *mūapramāṇa*[12]). Such a requirement, certainly, can never be met in the case of testimony about the supersensible.

How, then, can the Veda tell us about the supersensible, about *dharma*, if human testimony cannot? This is where the most well-known epistemological doctrine of Mīmāṃsā, the theory of the intrinsic validity of cognitions, comes in. According to this doctrine a cognition is true unless and until it is in some way shown to be false. Every cognition (and not just true ones – a common misconstrual of the theory) occurs with a sense of conviction, a sense that matters really are as it represents them. If it is not overturned either by a different cognition which declares matters to be in fact otherwise or by an awareness that there exists some "defect" in the circumstances that gave rise to the cognition – the object is very small or far away, the sense organ diseased, the mind distracted or tired, etc. – then it is true for us. Now the Veda conveys definite notions of what actions should and should not be done (with a view to a future result) which are not overturned in either of these two ways. Being about *dharma*, there are no other *valid* cognitions derived from other *pramāṇas* which contradict them. The statements of the Buddha or the Jina may contradict them, but, as we saw, they lack authority. And insofar as the Veda is eternal and authorless (*apauruṣeya*), there is no possibility of a defect in the source of these

notions. Hence, they are valid for us in a way that no other statements about right and wrong can be.

This is one of the central ideas, if not the most central idea, of Hindu orthodoxy – that only an eternal, authorless statement can reliably inform us of the transcendent. It also, of course, finds application in Vedānta thought: only the *vedavākya* can convey valid knowledge of the Absolute; it alone, and not any result of reasoning or any teaching originating from a person, no matter how revered or exalted, can evoke enlightenment (cf. TR, pp. 131–204). This idea accounts for aspects of Indian philosophical thought to which many have pointed in distinguishing it from European philosophy, in particular its close connection with religious discourse and its lack of commitment to "pure theory" – matters upon which Halbfass has reflected throughout *India and Europe* (see especially pp. 263–286). It also underlies the rejection of experience as a source of truths about ultimate reality, which, once again, Halbfass has treated as an important orthodox tendency, in contrast to so-called Neo-Hindu thought (IE, pp. 378–402). Above all, however, it is important to see that this idea itself is rationally conceived and defended. It rests on a moderate skepticism, specifically, skepticism about the ability of humans to know the supersensible through their own faculties, which in turn is based on empiricism, as we saw. As a theory of epistemic justification, moreover, the theory of intrinsic validity is quite defensible – contrary to the judgement of most modern scholars.[13] It resembles in many respects recent proposals in contemporary philosophy, devised by Christian "analytic" philosophers seeking an "anti-evidentialist" theory of knowledge that can serve as the ground of the rationality of religious belief (Alston 1991; Plantinga 1993). In the Mīmāṃsā defense of the exclusive authority of the Veda in regard to *dharma*, rather, it is specifically the premise of the eternality of the Veda that is most questionable and in the end renders the argument unacceptable.

It would seem that the most appropriate characterization of Rumānia's ethics is "traditionalist." It is a version of the view that what is good or bad is what tradition approves or disapproves. To be sure, Kumārila distinguishes the Veda from mere tradition. The Veda is eternal; tradition originates from humans. Simply the fact that an action conforms to what one's forefathers did or is accepted by distinguished people is insufficient to consider it *dharma*. That would be to resort to "mere faith," for in fact

everyone everywhere does what one's forefathers did. It would be like saying, "It is valid because it is what *we* do."[14] Moreover, there could be traditions of ignorance as well as of knowledge; there could be a tradition of one blind man telling the next blind man how things look.[15] Nevertheless, the modern reader cannot but feel that Kumārila, in defending the authority of the Veda over against the teachings of Sāṅkhya, Yoga, Pāñcarātra, Śaivism, and Buddhism, is simply insisting – in spite of his claim that the Veda is not a tradition – on the priority of what he considers a more honorable, ancient tradition over newer ones. The Veda is true, in other words, because it is the *authentic* tradition of the Āryas. The other "traditions" represent innovation and independent speculation. They derive from people whose characters and motives can be questioned. They are false simply because they contradict what the culture as a whole has believed and done from time immemorial. The attempt to ground this preference on the claim that the Veda is not, strictly, a tradition at all but an eternal, authorless teaching seems merely a clever gimmick – something which, as Kumārila himself says at one point in his critique of the Buddhist doctrine of omniscience, only a true believer could take seriously (*ŚV Codanā* 138–139). One must also keep in mind that when Kumārila says that the Veda is eternal he does not mean that it exists independently of its transmission by humans. He does not give voice to the belief of Bhartṛhari that the Veda, existing as *śabda* and contained in seed form in the *praṇava*, is ultimately identical with the Absolute (Aklujkar 1991, p. 5). Rather, he means only that it has been forever handed down from one generation to the next. We know that the present generation learned it from the previous generation and the previous generation learned it from the next previous one, and we have no reason to believe that there ever was a beginning to this process (*ŚV Vākya* 365ff.)

Let us consider, then, for the purpose of reflecting philosophically on Kumārila's ideas in a contemporary context, that Kumārila holds right and wrong to be what tradition prescribes and prohibits, "tradition" being any teaching sufficiently ancient not to be identified as originating from a particular source.[16] This is perhaps the most widely held of all ethical theories, but it has rarely been philosophically defended. Philosophical ethics, rather, has always tended in the other direction, away from a traditionalist ethics toward the elucidation of "deeper" principles which can

be used to question and critique tradition. Indeed, independence from tradition is often considered to be of the very essence of *philosophical* ethical reflection. Kumārila, therefore, is unique in offering a reasoned justification of tradition as an ethical criterion. He provides a justification, not in the sense of an explanation of why it should be the standard of right and wrong, but in the sense of why it unavoidably is. This justification, as I would reconstruct it, is essentially as follows: the norms handed down by one's culture serve as valid standards of right and wrong simply because they are ineluctable. We cannot but think in terms of them when reflecting on ethical matters; as Kant would say, they appear to us as (synthetic) a priori principles which are the conditions of any possible experience of value. And they have this ineluctable quality, because the sense of conviction with which they are originally received – when they are first taught to us – never diminishes, while all other norms are questionable. They are not negated by judgements deriving from human beings consulting their reason, conscience, sentiments, or whatever; for we know that humans are fallible in the use of these faculties. Moreover, it is not even clear that we can ever discern what one *ought* to do by means of such faculties. The judgements of tradition retain the validity with which they are originally received, we could say, because they have the appearance of impersonal objectivity. They lack the aspect of contingency that attaches to other judgements. They are, simply, "there" as seemingly timeless commands, ascribable to no individual or group of individuals but part of the common property of the culture.

In order to appreciate the force of this theory we must reconsider the doctrine of intrinsic validity upon which it is ultimately grounded. According to that theory,[17] all cognitions have *prima facie* validity; they present themselves as true when they occur. A visual perception of a book on the desk in front of me does not have to be verified in turn by other cognitions in order to be valid for me. It stands on its own as a valid cognition without the support of extrinsic evidence. Such cognitions – cognitions which we are spontaneously inclined to accept as true and which have not in any way been falsified – form the foundation of all that we know.[18] Indeed, knowledge must begin somewhere, with certain cognitions the validity of which is taken for granted. The notion that we are entitled to consider a cognition true only if we have confirmed it by means of another

cognition leads inevitably to a regress *ad infinitum*. Now, not only a perceptual cognition, but any cognition of one of the recognized *pramāṇas*, including testimony (*śabda*), can be valid in the suggested way. Just as I am naturally inclined to consider true a visual perception of a book in front of me unless and until it is falsified, so am I naturally inclined to consider true a cognition evoked by a statement made by another person.[19] Of course, we learn through experience to restrict our acceptance of testimony. We learn that certain people, certain circumstances, and certain subject matters are likely to render statements false. As mentioned above, Kumārila holds that in general in order for human testimony to be valid (for us) we must be aware that the witness is in possession of a *mūlapramāṇa*, a means of knowledge which serves as the legitimate basis of his belief – in other words, that he is at least in a position to know that of which he speaks (*ŚV Codanā* 102ff.)

A statement that one ought or ought not do a certain thing that is received, not from a particular person or group of people, but from the culture as a whole – that is, it is not only uttered from time to time by various individuals but is brought home in a hundred other ways by the beliefs and practices of the society in which one lives – such a statement will, like any other, have initial validity for us; for, once again, we are so constituted that if we are told something definitely and unambiguously, we believe it. (Were we not constituted in this way, Thomas Reid claims, we would perish at an early age.[20]) And its validity will not be sublated, first, because no belief deriving from another source will have the power to contradict it. Any counterstatement that one should or shouldn't do something else that has an identifiable human source will be immediately questionable. How, indeed, could he (or they) ever be in a position to know what one should or should not do? What tells *them* that this or that should or should not be done (i.e., what is their *mūlapramāṇa*). Perception? Inference (reason)? As we saw above, Kumārila stresses that it is not apparent how either of these is capable of apprehending any connection between a particular action and a future benefit. With slightly more sophistication, the Western empiricist tradition (Hume) tells us that these faculties can inform us only of how things *are*, not how they *ought to be*. Is it, then, known by means of sentiment or conscience? But (now contrary to the Western empiricist tradition) our sentiments tell us only what we prefer

or do not prefer, not what is right or wrong. And conscience, which would seem to have right or wrong as its object, is so inconsistent that few have ever been seriously inclined to consider it a genuine faculty of knowledge.

Nor will a traditional injunction or prohibition be undermined by the consideration that it, too, must ultimately derive from humans. Perhaps eventually it will – although Kumārila is by no means impressed with the arguments that seek to prove that the fundamental social institution of language is established by convention – but that would be an achievement of speculative, theoretical reason. For the time being, in everyday practice, the injunction of tradition presents itself as anonymous and impersonal. As far as we can determine, it originated from no one, at no time. It is simply given, *as if* it were eternal. And so it remains true – at least subjectively, for us, in everyday practice. As Kumārila says, one doesn't even suspect the invalidity of a Vedic injunction (*ŚV Codanā* 68 cd: *vede … apramāṇatvaṃ nāśaṅkām api gacchati*).[21]

In sum, the ethical judgements of tradition will be binding for us, because they have in practice the lasting appearance of truth. The interesting corollary of this thesis is that *only* traditional judgements will be binding for us; for we cannot comprehend any other way a genuine "ought" can originate. In this respect, the theory is parallel to the Mīmāṃsā doctrine of the eternality of the denotative power (*śakti*) of words (in fact, it can even be seen as a special case thereof, insofar as the force of an injunction can be traced to the optative ending of the verb): since the ability of words to mean things cannot be explained as originating from some cause – cannot be construed as in any way contingent – it must be eternal. As a further result, any "new" ethical notion that has force for us will in reality be a traditional one, dusted off and renovated, perhaps, after long disuse. That "there is nothing new under the sun" applies especially to ethics. For this reason Kumārila accuses the heterodox critics of Vedic practice of ingratitude; for they refuse to acknowledge that their notions of non-violence, benefitting others, and so forth, come from the Veda itself (TR, p. 96). More generally, any wholesale "trashing" of tradition in the name of other "higher" ideals or "deeper" principles must be seen as an act of bad faith; for tradition provides the resources with which such ideals and principles are ultimately worked out. The opposing of such "new" ideals to tradition has to do, in fact, with the application of already recognized principles to new

circumstances, that is, with the proper interpretation of the complex system of values that has been handed down. Ethical discourse, properly conceived, is a hermeneutical project.

The contemporary philosopher who has gone farthest in developing this theme is H.-G. Gadamer. Tradition, Gadamer argues, is inescapable. It forms the context in which any reflection is carried out, even that which opposes and transcends tradition. It provides the "prejudices" (*Vorurteile*) – the motivations and presuppositions – that invariably serve as guidelines of inquiry. "That which has been sanctioned by tradition and custom," Gadamer writes in *Truth and Method*,

> has an authority that is nameless, and our finite historical being is marked by the fact that always the authority of what has been handed down to us – and not just what is clearly grounded – has power over our attitudes and behaviour.[22] All education depends on this, and even though, in the case of education, the educator loses his function when his charge comes of age and sets his own insight and decisions in place of the authority of the educator, becoming mature does not mean that a person becomes his own master in the sense that he is freed from all tradition. The real force of morals, for example, is based on tradition. They are freely taken over but by no means created by a free insight grounded on reasons. This is precisely what we call tradition: the ground of their validity. And in fact it is to romanticism that we owe this correction of the enlightenment, that tradition has a justification that lies beyond rational grounding and in large measure determines our institutions and attitudes. (Gadamer 1989, p. 281)

Gadamer, of course, does not advocate clinging to tradition at all costs, as Kumārila sometimes seems to advocate. These observations, rather, "lead to the question whether in the hermeneutic of the human sciences the element of tradition should not be given its full value" (1989, p. 282), that is, whether we should not cease pretending to be able to achieve a detached scientific knowledge of history by divorcing ourselves from tradition and its "prejudices" and instead recognize that historical understanding takes place within the horizon of tradition itself. The point is to see tradition as constructively contributing to our understanding of both ourselves and the past, and to respect tradition as a source – perhaps the only source – of

values that will enable us to come to terms with new circumstances. Kumārila's thought, I believe, can be seen as contributing to this project by offering a convincing explanation of the binding force of traditional judgements. As we saw, the power of traditional beliefs according to Kumārila has to do simply with the epistemic status they have in the belief systems in which they occur, as defined by a proper theory of epistemic justification, viz., the theory of intrinsic validity. This explanation construes the power of traditional beliefs as epistemically legitimate and not merely the result of such factors as blind obedience or narrow-mindedness.

Another way in which Kumārila's philosophy might be seen as contributing to modern ethical thought is in suggesting a solution to the dilemma about whether value is objective or subjective.[23] Is value a fact that we discover about the world? Or is it something our minds impose on the world? David Hume, for example, suggested that the value we see in actions is simply a projection of our sentiments, of our liking or disliking them. The first alternative, typically championed by rationalist philosophers, accords with the fixed and definite – seemingly, necessary and universal – character of moral judgements. When we consider murder, for example, bad, we consider it so for everyone and everywhere. It would appear to have little to do with sentiment; for surely, even if we all enjoyed killing people, it would still be wrong. Presumably this property of moral judgements is best explained by their being based on cognitions of the real properties of things: seeing actions to be what they really are, we are compelled to judge them in certain ways. The second alternative, on the other hand, which is advocated by empiricist philosophers, accords with the fact that we do not seem to be able to isolate and identify the properties of things that make them good or bad. Value is not a discoverable component of the world. It is not the sort of thing that any scientific inquiry has ever unearthed. When we analyze how things really are, value disappears. As Hume said:

> Take any action allowed to be vicious: Wilful murder, for instance. Examine it in all its light, and see if you can find that matter of fact, or real existence, which you call *vice*. In which-ever way you take it, you find only certain passions, motives, volitions, and thoughts. There is no matter of fact in the case. The vice entirely escapes you, as long as you consider the object. (Hume 1958, p. 468)

Kumārila himself says, "… at the time [of the deed], there is no observation of a fault in committing injury" (*na hi hiṃsādyanuṣṭhāne tadānīṃ doṣadarśanam, ŚV Codanā* 233cd). Therefore, value must be something our minds impose on things.

A traditionalist ethical theory such as Kumārila's may be able to avoid both horns of this dilemma. On the one hand, it does not consider value to be an objective aspect of the world. For value is merely what is dictated by tradition, not our cognitive faculties apprehending facts; and we may suspend judgement as to how tradition ever in the first place came up with the idea that this or that act is good or bad. That is something that we cannot really conceive; no ethical theory to date has given an adequate account of it. All we know according to this theory is that, for us, in our present situation, the guiding notions of good and bad are handed down to us ready-made. On the other hand, a traditionalist ethical theory does not construe value as a reflection of our sentiments or anything else imposed by the mind, either; for tradition transcends minds. It is received, not invented, by each generation. Whether it originated with people projecting their likes and dislikes onto things, once again, we are unable to tell. We only know that now, in our present situation, it is something given.

In short, a traditionalist ethics might be able to avoid the dilemma about the objectivity of value by abstracting altogether from the issue of how judgements of value originate, for the latter dilemma, strictly speaking, has to do only with that issue. Yet at the same time, as we saw, it can explain how ethical judgements are binding on us, i.e., how they appear universal and necessary – at least in a certain context. A belief can be binding without being based on a cognition of facts and without reflecting an essential component of one's subjectivity. A belief can be binding just by appearing to have a distinctive degree of warrant – as explained by a proper theory of justification. (One need not resort to metaphysics or transcendental psychology to explain the universal and necessary character of certain beliefs; it can be explained, rather, in the context of analytic epistemology.) An ethical judgement, therefore, can have force for us, simply because, regardless how it arose, it appears true. At the same time it can be seen how a traditionalist ethical theory can account for the fact that different ethical judgements have authority in different societies. For an ethical judgement has force insofar as it is traditional; but different judgements will be

traditional in different cultures. A traditionalist ethical theory, in other words, will explain how certain ethical judgements can be authoritative – impersonally "objective" and not just expressions of preference or sentiment – in certain societies without being in the fullest sense (for all societies) universal and necessary.

My intention in this paper has been only to provide the barest outline of the essential idea of an ethical theory that can be *extrapolated* from Kumārila's writings. Of course, much of what I have said Kumārila himself would reject. For he does not hold that the Veda is a "mere" tradition, no matter how ancient; it is rather eternal. Otherwise, indeed, it would be on a par with other scriptural writings – a conclusion he would find intolerable. But the modern reader is unable to go along with Kumārila in making such an assumption. If what Kumārila says is to have any relevance for us today we must reconstrue it as pertaining to a Veda that is not really eternal but only apparently so, i.e., a *tradition* that is so ancient as to *seem* eternal and anonymous, in contrast to teachings that have an identifiable, human source. If his ideas are to become viable and interesting for us – if they are to speak at all to the contemporary philosopher – then we must for a moment suspend our concern with historical accuracy.

I have not really begun to develop the ramifications of the traditionalist ethical theory that I see in Kumārila's writings or defend it here; nor am I sure myself that it is ultimately tenable. I hope, however, to have aroused the reader's interest enough for him to consider it worth further investigation. To restate the central insight of the theory: When you walk into a room and see a table, your perception is valid for you until other considerations arise that contradict it. Similarly, when you are told you ought to do this or that, your idea that you ought to do it remains valid for you so long as it is not contradicted. But the things tradition tells us are never effectively contradicted. Therefore, we think, what tradition tells us is what we really should and should not do. Where, after all, do "oughts" come from? Ethics, it seems, has never been able to answer this question. (A moderate skepticism, once again, is an important component of this theory.) It is not entirely incongruous to suggest, therefore, that they in effect come from nowhere. Any valid "ought" for us is one that is already there, which is as good as saying that tradition delivers it. And its validity has to do precisely with the fact that it is traditional, which means that,

while conveying a clear sense that something should be done, it is not ascribable to any particular source and so (at least for us in everyday practice) is not questionable.

To recommend such a theory is to go along with Gadamer's suggestion that we "give tradition its due," that is, once again begin to take tradition seriously as a source of insight into right and wrong in dealing with contemporary issues. Perhaps in distancing ourselves, since the Enlightenment, as far as possible from tradition we have not advanced toward a better, more just world at all but simply muddled the tradition of which we are inescapably a part, while ceasing altogether, in certain instances, to be moral.

As a postscript to this discussion I would like to revert from thinking philosophically about Kumārila's thought to thinking about it historically and say a word about its historical significance.

Why is Kumārila so conservative in his treatment of revelation? Why does he accept only the Veda as a valid guide to pious living? Why are other sources of insight into transcendental matters so firmly, even vehemently, rejected by him? Why does he ignore, not only mystical experience, but even a personal intuition of value, of right and wrong? Halbfass, too, has puzzled over this problem in *Tradition and Reflection*, noting that other approaches were taken in the classical period (TR, p. 39). There was, e.g., Bhartṛhari's acknowledgement of all philosophies as the continuing unfoldment of *śabdatattva* and as anticipated in the Veda itself. There was Abhinavagupta's reliance on the Śaivāgamas, Yāmunācārya's defense (in his *Āgamaprāmāṇya*) of the authority of the Pāñcarātrāgamas, and Jayantabhaṭṭa's acknowledgement of various religious traditions on the basis of their "acceptance by great (and/or many) people" (*mahājanaparigṇhītatva*; TR, p. 63). Including Kumārila together with Bhartṛhari, Śaṅkara, and Prabhākara, Halbfass asks:

Why did they rely on the Veda, and only the Veda? Why not on any other kind of "revelation"? Why did they not simply recognize the need for "revelation," or "objective epiphany," as such and in general? Are there any truly philosophical reasons, apart from cultural, psychological, and ideological motivations? (TR, p. 39)

I believe that we can take a step toward answering this question by regarding a striking Western parallel to Kumārila: Thomas Hobbes. Hobbes is most commonly known as one of the founders of English empiricism and political philosophy, yet his *magnum opus* the *Leviathan* contains in its third and fourth parts a lengthy discussion of religion. There Hobbes attempts to bring Christianity up to date, so to speak, by bringing its teachings as much as possible into harmony with the emerging natural sciences, the epistemological groundwork for which he had laid in the earlier parts of the work. But he is primarily concerned, more broadly, with the problem of religious authority and the legitimacy of scriptural interpretation. He will conclude, extraordinarily enough, that only the sovereign of the commonwealth has the right to determine what is true or false in matters of doctrine and worship.[24] There is no valid, independent source of insight into the meaning of scripture. He even admits that this may in the end cause him to retract his own interpretation of Christianity.

It is in the details of the discussion that the parallels to Kumārila emerge. In restricting religious authority to the sovereign Hobbes adopts a thoroughgoing rationalizing attitude. Such biblical notions as spirit, angel, inspiration, Kingdom of God, heaven, and hell are radically demystified. The spirit of God (frequently mentioned in the Old Testament) is considered variously as wind or breath, insight, violent emotion, etc. Angels are "subtile" or "thin" bodies, made perhaps of air; otherwise they are mental fantasies induced by God. Hobbes insists that nowhere does the Bible require us to believe in an incorporeal substance (which he considered as much an impossibility as Berkeley later considered corporeal substance to be). God Himself is declared incomprehensible in nature. The Kingdom of God is the society of believers in God, between whom and God the Bible records various covenants. The Kingdom of Heaven will be the society of physically resurrected believers presided over by Christ at the end of time. Hobbes denies, once again, that the Bible speaks of an incorporeal soul which might conceivably travel to a heavenly realm; orthodox Christianity, rather, maintains the resurrection *of the body*. Miracles *qua* supernatural events Hobbes grudgingly admits as possible through God's agency. But he holds that much of the time supposed miracles will have a natural explanation. It is the fact that those who witness it are unable to explain it, given the state of their scientific knowledge – that is, its psychological

effect – and God's employment of it for his purposes, that makes a certain event a miracle.[25]

None of this, of course, is *exactly* matched in Kumārila. For one thing, Kumārila was hardly a materialist; he argues at length for the existence of an immaterial soul. But the spirit of the discussion is identical. The Mīmāṃsakas, too, and Kumārila foremost among them, attempted to explain away the supernatural content of the Veda. All passages of a mythopoeic nature are – indeed, rather scandalously and frequently without even an honest attempt to reinterpret them, such as Hobbes makes – dismissed as *arthavāda*, hence to be construed, in some way or other, figurately.

The thrust of Hobbes's rationalizing and demystifying of scripture, however – besides to bring it more in line with our understanding of nature through physical science – is to exclude all claims of extraordinary revelation. Here the parallels to Kumārila, specifically, to his polemic against the visionary capacities that were alleged to be possessed by the Buddha and the Jina, are more marked. The prophecy recorded in the Old and New Testaments occurs typically not by means of any direct experience of the Divine, Hobbes observes, but by visions, voices, or dreams induced in the mind of the prophet by God. Only, it seems, in the case of Moses did God address His messenger face to face. Considering, then, that such experiences may occur from natural as well as supernatural causes, there is a special need of the use of reason and judgement in discerning genuine prophecy. Moreover, while the person to whom God speaks, as it were, in this manner may well be convinced that God spoke to him, "how the same may be understood by another, is hard, if not impossible to know." For how could it be proved?

> To say that he [God] hath spoken to him in a Dream, is no more than to say he dreamed that God spake to him; which is not of force to win beleef from any man, that knows dreams are for the most part naturall … To say that he hath seen a Vision, or heard a Voice, is to say that he hath dreamed between sleeping and waking: for in such manner a man doth many times naturally take his dream for a vision, as not having well observed his own slumbering. To say that he speaks by supernaturall Inspiration, is to say he finds an ardent desire to speak, or

some strange opinion of himself, for which he can alledge no naturall or sufficient reason. So that though God Almighty can speak to a man, by Dreams, Visions, Voice, and Inspiration; yet he obliges no man to beleeve he hath so done to him that pretends it; who (being a man), and (which is more) may lie [sic.]. (Hobbes 1985, p. 411)

In general, therefore, we cannot trust those who claim to have direct access to God's word. Even the Bible warns repeatedly against false prophets. Any claim to prophecy must be tested by the criteria mentioned by scripture itself: accompaniment by miracles (themselves difficult to authenticate) and harmony with established doctrine. However, since miracles have ceased to occur in our day, harmony with scripture remains the sole criterion.

We have no sign left, whereby to acknowledge the pretended Revelations, or Inspirations of any private man; nor obligations to give ear to any Doctrine, farther than it is conformable to the Holy Scriptures, which since the time of our Saviour, supply the place, and sufficiently recompense the want of all other Prophecy; and from which, by wise and learned interpretation, and careful ratiocination, all rules and precepts necessary to the knowledge of our duty both to God and man, without Enthusiasme or supernaturall Inspiration, may easily be deduced (1985, p. 414).

In the end, since the authority to interpret scripture rests with the sovereign power of a Christian commonwealth, to whom its citizens have relinquished most rights for the sake of their own survival and prosperity and whose commands they have agreed to consider law – not, as Hobbes will go on to argue, with one Vicar of Christ constituted over the universal Church, i.e., the Pope – the legitimacy of any religious teaching is ultimately to be decided by the sovereign.

Every man therefore ought to consider who is the Sovereign Prophet, that is to say, who it is, that is Gods Viceregent on Earth; and hath next under god, the Authority of Governing Christian men; and to observe for a Rule, that Doctrine, which in the name of God, hee command to bee taught; and thereby to examine and try out the truth of those

Doctrines, which pretended Prophets, with miracle, or without, shall at any time advance … (1985, p. 468f.).

Here, of course, Hobbes differs from Kumārila in putting forward a particular human being as the final arbiter in religious disputes. However, that is not because he does not consider scripture as it has been handed down to us the only source of religious truth – indeed he does, though of course he does not go so far as to say that it is eternal. But Hobbes also realizes, unlike Kumārila, that different people will interpret scripture differently. That is where the problem of religious disagreement lies for him, for he lived in a culture in which religion and Christianity were synonymous. Kumārila, on the other hand, often gives the impression that he believes that once the Veda is accepted by all, things will go smoothly – an impression that his own intricately argued interpretations of Vedic passages belie.

Overall, Kumārila and Hobbes are in remarkable agreement about the need to eliminate the influence of "private revelation" on religious life. Both propose theories of prophecy and religious authority – coinciding in some points but diverging in others – which are suited to inhibiting innovation and promoting uniformity of belief and practice. The question remains, why? In Hobbes's case, he himself gives us the answer in the continuation of the last passage cited:

For when Christian men, take not their Christian Sovereign, for Gods Prophet; they must either take their own Dreams, for the Prophecy they mean to be governed by, and the tumour of their own hearts for the Spirit of God; or they must suffer themselves to bee lead by some strange Prince; or by some of their fellow subjects, that can bewitch them, by slander of the government, into rebellion, without other miracle to confirm their calling, then sometimes an extraordinary success [i.e., a mere coincidence], and Impunity; and by this means destroying all laws, both divine, and humane, reduce all Order, Government, and Society, to the first Chaos of Violence, and Civil warre. (1985, p. 469)

It is well known that Hobbes wrote the *Leviathan* in response to the English Civil War, which he believed to have been caused above all by religious

strife. Only by the recognition of a single sovereign who has supreme authority in matters both religious and secular, but who is established and legitimized by a covenant instituted among the citizens of the commonwealth, would peace be restored.

We know virtually nothing about Kumārila's precise historical situation. We can guess, by the usual method of cross-referencing, that he lived in the seventh century. He seems to belong to the same period as Dharmakīrti, Maṇ ḍana, Śaṅkara, and Prabhākara. His familiarity with South Indian linguistic forms and customs suggests but does not prove that he lived in the South. It seems safe to say, however, that wherever Kumārila might have lived in India in the latter half of the first millennium, he would have been exposed to fierce competition among religious sects, which in turn fed political strife and persecution. Kumārila may not have experienced the turmoil caused by religious dissension in the same form as Hobbes did – civil war – but that he did experience it in some form seems quite likely. It does not seem too farfetched to suggest then, on the basis of an analogy to Hobbes, that Kumārila's extraordinary conservatism with regard to religious practice and belief may have been motivated, not just by the widespread trend toward rationalism – a deemphasis of the supernatural element and a focus, instead, on logic and epistemology – of his age, but also by specific social and political circumstances.

The above discussion, by the way, can perhaps be seen as a legitimate application of "comparative philosophy" to a historical problem. Halbfass, of course, has also reflected on the nature and value of comparisons in Indian studies and on so-called comparative philosophy in particular (IE, pp. 419–433). Comparative philosophy, I have always felt, can sometimes aid in our understanding of philosophical texts by suggesting possibilities of interpretation. But that is a topic for another essay.[26]

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NOTES

[1] This chapter originally appeared as "Kumārila on Ahiṃsā and Dharma" in Halbfass 1983a.

[2] Kumārila, following Śahara, suggests that the *śyena* sacrifice, which is a means to inflict injury on one's enemy, is not prescribed categorically by the Veda but only hypothetically. As such, it is neither *dharma nor adharma* (265a–267b).

[3] Śahara understands *artha* as "that which is conducive to welfare/prosperity (*śreyaskara*)" and also, it seems, as "the highest good" (*yaḥ puruṣaṃ niḥ śreyasena saṃyunakti, sa eva dharmaśabdenocyate*). See D'sa (1980, pp. 49–54) for further discussion of the possible meanings of *artha*.

[4] Specifically, by the method of *āvāpodvāpa*, "addition and subtraction" (250cd), i.e., by discerning the common element in various injunctions or prohibitions to be X, the variable elements to be A, B, C, etc.

[5] The problem of the identity of the Saṃsāramocakas is discussed by Halbfass in this same essay, pp. 99–111.

[6] *Ya eva śreyaskaraḥ, sa eva dharmaśabdenocyate, ŚBh* p. 20.4–5. Kumārila offers only a minimal definition of "welfare" as "human happiness," *ŚV Codanā* 191a: *śreyo hi puruṣaprītiḥ.*

[7] The Prābhākara interpretation of *vidhi*, however, tends in this direction. See Maitra (1978, p. 117ff.).

[8] The reverse side of skepticism is nihilism. By telling us that we cannot achieve anything through the exercise of our cognitive faculties, it undermines one of the most important dimensions of human existence. Thus, global skepticism will always be resisted. Moderate skepticism, on the other hand – the notion that we cannot achieve knowledge of everything – is simply common sense.

[9] *Pratyakṣapūrvakatvācca anumānopamānārthāpattīnām apy akāraṇatvam, ŚBh*, p. 27.1–2.

[10] The discussion of Kumārila's lost work, the *Bṛhaṭ ṭ īkā*, which is much more extensive than the *ŚV*, is preserved in the *Tattvasahgraha* as the *pūrvapakṣa* of the *Atīndrvyārthadarśiparīkṣā*.

[11] *ŚV Codanā* 113:

> *yajjātīyaiḥ pramā ṇais tu yajjātīyārthadarśanam/*
>
> *bhaved idānī ṃ lokasya tathā kālāntare 'py abhūt//*

[12] The doctrine of the need for a *mūlapramā ṇa* in the case of human testimony is developed by Kumārila's commentators on the basis of his mentioning of *pramā ṇ āntaramūlatā* at *Codanā* 71b and *mūla* at 103a. See also *Codanā* 136 and 165.

[13] I argue for this in a forthcoming monograph, *Intrinsic Validity and the Philosophy o Kumārilabhaṭ ṭa*.

[14] Cf. *TV* I.3.4, p. 113:

> *mahājanagśh ītatvaṃ pitrādyanugamādi ca/*

te 'pi dvīpāntarāpekṣaṃ vadanty eva svadarśane//

tatra śraddhāmātram evaikaṃ vyavasthānimittaṃ sarveṣ ā ṃ svapitṛpitāmahādicaritānuyāyitvāt.

[15] This is noted in a *pūrvapakṣa, TV* I.3.1, p. 73.

[16] Buddhism and Christianity would be traditions in this sense; for although both in fact originated with historical founders, each is typically transmitted as the "truth" without reference thereto (except insofar as their status is a point of dogma). Kumārila, interestingly enough, considers at *TV* I.3.11–12 (pp. 162–164; cf. *ŚV Codanā* 119–120) attempts by the Buddhists and others to base the authority of their scriptures on their eternality. It would seem, then, that any tradition after a while begins to regard itself as eternal. Often the historical founder of a tradition comes to be viewed as an eternal, metaphysical principle. Buddhism and Jainism specifically teach that their doctrines are re-expounded by enlightened preceptors in every cosmic cycle. Against the appeal to eternality by the Buddhists Kumārila argues that it would contradict other fundamental Buddhist tenets, e.g., the momentariness of entities and the non-eternality of language.

The reader should keep in mind that in considering Kumārila as upholding tradition as an ethical criterion I am reconstruing his statements in a manner with which he would not agree, precisely because it puts the Veda in a class together with all other scriptural writings.

[17] I discuss here only the so-called *svataḥ prāmā ṇyam jñaptitaḥ* doctrine, which I believe is the proper interpretation of Kumārila's view of validity in the *Codanāsūtra-adhikaraṇa*. The *svataḥ prāmā ṇyam utpattitaḥ* doctrine seems to have originated with Umbeka's interpretation of Kumārila in his *Śhkavārttikavyākhyātātparyaṭ īkā*. See Taber 1992.

[18] Thus, the theory is best characterized as a type of "fallible foundationalism." For contemporary discussions see Audi 1993 and Lehrer 1990, p. 63ff.

[19] The eighteenth-century Scottish philosopher Thomas Reid refers to this tendency as "the credulity principle" (1983, pp. 95–97).

[20] See preceding note.

[21] This should not be taken to mean, however, that they are indubitable, but that they appear to us in every way true and there is no basis for considering them false.

[22] Gadamer says elsewhere (1989, p. 272): " … the sheer fact that something is being written down [we could also say, transmitted through a formal oral tradition] gives it special authority. It is not altogether easy to realize that what is written down can be untrue."

[23] For a recent treatment of this problem see Stroud 1989.

[24] Within certain obvious limits, that is. He cannot require that his subjects profess anything that contradicts the most basic tenets to which a Christian is committed by conscience, such as that Jesus is the Christ.

[25] Such ideas as these might be taken as support for the thesis put forward by Leo Strauss that Hobbes was really an atheist who feigned piety in order to avoid persecution. His real attitude toward religion was always that "religion must serve the State and is to be esteemed or despised according to the services or disservices rendered to the State" (1936, p. 74). I believe, however, that this view has been decisively refuted by Glover 1965 and others.

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[*ŚV*] *Ślokavārttika*. *Slokavārttika of Sri Kumārila Bhaṭṭa with the Commentary Nyāyaratnākara of Śri Parthasarathi Miśra*. Ed. Svāmi Dvārikādāsa Sāstri. Varanasi: Tārā Publications. (Prāchyabhāratī Series 10).

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Theory of Non-violence

Though it was deeply influenced by the Hindu, Jain, Buddhist and Christian theories of non-violence, Gandhi's theory was in a class by itself. It differed from them not only in its basic assumptions and concerns but also in its manner of origin and logical character. He considered *ahimsā* one of the highest moral values and sincerely endeavoured to live by it. In the course of doing so, he encountered difficult situations and painful dilemmas. He wrestled with these, conducted bold and imaginative experiments, reflected on their results and systematised his insights into a theory of *ahimsā*. As the theory was born out of his experiences and tested against the reality of life, Gandhi claimed that it was not an abstract intellectual construct but 'scientific' in nature and represented his contribution to the hitherto undeveloped 'science of *ahimsā*'.

Since Gandhi lived a public life in the sense of leading his entire life in public, his experiments in *ahimsā* became public property. He described them and their results in his weekly paper and invited comments. Numerous readers commented on them, sometimes agreeing but more often disagreeing with his views. Some also wrote him agonising personal letters describing the difficulties they had faced in the course of living by the principle of non-violence and asking for his guidance. Some others sought his responses to hypothetical situations and proposed alternative ways of defining and applying non-violence. Gandhi patiently dealt with every query, either by private communication or through the columns of his paper. When his decision, advice or action was controversial, the correspondence went on for weeks. Since his correspondents belonged to different cultural and religious traditions and came from all over the world, the columns of his paper took on the character of an ecumenical forum of debate between conflicting points of view. Sometimes Gandhi admitted an error of judgement; sometimes he argued that a different decision would have been just as correct; more often he offered an elaborate defence of his decision, and when the subject was of considerable importance to him or to his critics, he kept returning to it, looking at it from a different angle each time.

Gandhi's theory of *ahimsā* bore the marks of its provenance. It was broadly based, open, loosely structured, richly suggestive and poorly coordinated.

I

Although the Hindu religious tradition is extremely complex and diverse and includes several different systems of thought, certain basic ideas are common to most of them. The universe is generally taken to be eternal, and hence the question of its creation has never dominated the Hindu mind. It is permeated, structured and regulated by a variously described cosmic power, generally conceived not as a static substance but as an active principle informing or 'flowing through' everything in the universe and manifesting itself in different forms in different species of beings. Since all men embody the cosmic power, they are not merely equal or brothers but one. At a different level, all life is one; at the highest level all creation is suffused with the divine and, therefore, one. The cosmos is an internally articulated and ordered whole whose constituents are all its 'co-tenants' and equally legitimate members enjoying the right to exist and avail themselves of its resources.

The Hindu religious tradition enjoins on man the duty of universal *maitri* or friendliness and goodwill.[1] He is expected to respect the integrity of the other orders of being and to recognise them as his equal partners. Rather than grudge their existence and destroy them in the pursuit of his narrowly defined species-interests, he is advised to cherish them and to take delight in the infinite beauty and diversity of the universe. A remarkable *mantra* in the Sukla Yujurveda prays to gods: *Maitrasyāham caksusā sarvāni bhutāni samikse* (May I look upon all living beings with the eyes of a friend). In *Taitreya Samhitā*, the author wishes 'peace' to earth, trees, plants, waters and indeed to all sentient beings and prays that he may not unwittingly injure even the root of a plant. In a beautiful passage the *Mahābhārata* describes *abhāyadānam*, the gift of fearlessness or security, as *sarvadānebhyah uttamam*, the noblest of all gifts. According to it, the highest gift a man can bring to his fellow men and indeed to all living beings is the assurance that he poses them no threat, that they can depend on him never to hurt them and can relax and be at ease in his presence. *Ahimsā* is the highest expression of *ahhayadānam*. It means not merely abstention from harming others but also the absence of a wish or desire to harm them and involved *veratyāga* (renunciation of the feeling of enmity) or *avera* (an attitude of non-enmity). As Vyasa defines it in his *Bhāsya*, it is

sarvathā sarvadā sarvabhutānām anabhidroba, absence of malice or hostility to all living beings in every way and at all times.

Hindu thinkers disapproved of violence on different grounds, mainly four. For one set of thinkers, all life was a manifestation of *Brahman*, and hence sacred. For another, all living beings were rightful members of the cosmos and, as such, entitled to respect and autonomy to be interfered with only when they transgressed their naturally ordained boundaries and threatened to harm others. For some others, the use of violence necessarily involved strong passions, especially anger and hatred, and disturbed the equanimity and moral harmony of the agent. For yet others, it corrupted his consciousness, defiled his soul and hindered his spiritual progress. While the first two arguments rejected violence for what it did to *others*, the last two were primarily concerned with what it did to the moral *agent*. To be sure all Hindu thinkers insisted that in harming others, the moral agent harmed himself as well. However, the emphasis varied considerably, some preferring to concentrate on the harm done to the victim, others on that done to the agent.

While emphasising the spirit of cosmic friendliness and goodwill, Hindu thinkers fully appreciated that some interference with the integrity of the non-human world was an inescapable feature of human existence. *Jivo Jivasya Jivanam*: life is the life of life. To live was to kill. If a living being refused to kill, it ended up killing itself. Whatever he did, man was guilty of violence. Not only his biological survival but also his social existence involved violence. Men had to be deterred from interfering with one another, criminals had to be punished, and the social order had to be preserved against the actual and potential invaders by means of war.

Causing harm or destruction to living beings, then, was evil but also necessary and sometimes unavoidable. Though Hindu thinkers were deeply anguished by the human predicament, most of them took a fairly tough-minded attitude. The tender-minded among them formed the *sramana* tradition which eventually flowered into Buddhism and Jainism. For the Hindus, if causing harm or destruction was inescapable or required to maintain cosmic or social order, and not born out of ill will or malice, it was fully justified. Indeed, they argued that it was only harm or killing and not *himsā* or violence. Men killed millions of germs everyday in the course of breathing, eating, walking, sitting and so on. Since that could not be helped,

it was a fact of life, neither to be regretted nor rejoiced, and did not constitute violence. Ideally men should live on a vegetarian diet. However, if that were for some reason impossible, killing animals was justified. Similarly, if the propitiation of gods required sacrifices of animals, that too was not violence. It was needed in the interest of cosmic harmony, and in any case, the gods who required it and not the men who carried out their instructions were ultimately responsible for it.

Punishing evil-doers too was not *himsā*, for one punished them not out of ill will or hatred but in the interest of *loksangraha* or preservation of the social order. Hindu thinkers drew a fairly rigid distinction between man and his deeds, the agent and his actions, and insisted that it was perfectly possible, indeed necessary, to punish an action while remaining well-disposed to its agent. It was because one wished him well that one did not want to see him perpetrate evil deeds. And one could punish criminal deeds with clinical moral precision only if one was not swayed by the distorting emotions of hatred, anger and ill will. In a remarkable sentence, the *Mahābhārata* called killing an evil-doer *vadha* but also *ahimsā*, an act of killing but not of violence, that is, an act of non-violent killing. Society had a duty to protect itself and so long as its punishment was not motivated by hatred and ill will, it did not constitute *himsā*. In several Puranas too, *asādhuvadha* (killing an evil man) was called *ahimsā*. The *Bhāgavata Purāna* went even further and maintained that killing those violently disposed to other men (*nir-anukrosa*) and deserving to be killed (*vadhya*) was not only *ahimsā* but also *avadha* (non-killing). Etymologically and in its standard usage, the term *himsā* means a *wish* to kill or harm and implies ill-will; conversely *ahimsā* implies not just refraining from causing harm or destruction but the absence of a wish to do so. Killing without ill will and out of a sense of duty was therefore considered *vadha* and not *himsā*.

For Hindu thinkers, then, not all harm or destruction amounted to *himsā*. If it was inescapable or socially and religiously necessary and thus justified, it was not *himsā*. *Himsā* referred to unjustified harm and *ahimsā* to both justified harm and non-harm. Buddhist and Jain thinkers were most critical of the Hindu view. According to them, it encouraged casuistry, blinded people to several forms of harm and destruction, and used the authority of religion to sanction unacceptable violence. They preferred to define all harm or destruction as *himsā* and then to distinguish between justified and

unjustified *himsā*. For diem, justified harm and destruction was *himsā*, not *ahimsā*. *Ahimsā* referred to absence of harm and destruction.

For most Indian thinkers, the ultimate objective in life was to seek liberation from the world of sorrow. This involved withdrawal from all forms of worldly involvement and cultivation of an attitude of total detachment. Love was a form of attachment which tended to become addictive and entangled the agent in the affairs of the world. Both Bhishma and Krishna warned against it in the *Mahābhārata*, and in a remarkable dialogue in *Shāntiparva*, Medhavin gave similar advice to his father. The Puranic Bharata or Jada Bharata fell from his high spiritual stage because he was once seized with a strong feeling of compassion for a young deer. The Jains disapproved of both *shubharāga* (attachment to good or noble things) and *ashubharāga* (attachment to bad things) and recommended *veetarāga* (absence of all attachment). The Buddha stressed *karunā* or compassion, but it too largely meant uninvolved, detached and non-emotive kindness to all living beings. For him, as for Hindus and Jains, *ahimsā* was not so much a virtue as a discipline, one of the five major *yamas* or moral exercises designed to help the individual cultivate detachment and spiritual purity. Given their attitude to the world, it was hardly surprising that Indian thinkers generally defined *ahimsā* in negative terms. It meant not active love or service of all living beings, but largely abstention from causing them harm or destruction.

With some exceptions, Indian thinkers argued that though all life was sacred, not all living beings had equal worth. Despite some reservations, they were all agreed that human life was higher than the animal. For most Hindu writers, all animals had equal worth whereas that of men varied according to their caste. The bulk of Jain thinkers took the opposite view— that all men had equal worth whereas that of the animal varied according to the number of its senses and capacities. For the most part, the Buddhists drew a general distinction between man and animal and did not consider it necessary to establish a further hierarchy within each category.

There was considerable discussion but no general consensus among Indian thinkers concerning the conceptual and moral relationship between harm or injury on the one hand and killing on the other, and at a different level, between pain and death. For some, death was a form of harm; for some others, harm was partial death; for yet others, the two concepts were

incommensurable. They also disagreed about whether the alleviation of pain or the preservation of life was a higher moral principle. Some thought that life could be terminated if unbearably painful; others felt that it must be preserved at all cost.

Since some form of *himsā* was inherent in human existence, Indian thinkers defined *ahitnsā* not as total absence or avoidance of violence, but as *alpadroha* or minimum possible violence. When some measure of participation in an evil was considered unavoidable such that the relevant virtues and vices only differed in degree, there was a common tendency in Indian thought to formulate the virtues involved in negative terms. *Ahitnsā* was one example of this; *asteya* and *aparigraha* were others. This is why non-violence is an inaccurate translation of *ahitnsā*. *Ahitnsā* permits some *himsā* and means minimum possible violence. As the *Mahābhārata* put it: 'Who is there who does not inflict harm? Can anyone in the habit of deep reflection claim to be free from the charge of violence? Even the ascetics devoted to non-violence commit violence and only by the greatest of efforts can they reduce it to the minimum'.

Indian thinkers declined to lay down a universal and uniform standard by which to decide what constituted minimum violence, for the standard was deemed to be relative to the individual's occupation, circumstances and way of life. The minimum violence possible for and expected of a warrior was different from that expected of a trader or a priest, and a *sannyāsi* could not be treated on a par with a householder. Almost all Indian thinkers laid particular emphasis on the fact that by virtue of being a custodian of the integrity of his society, a king could not be judged by the same criteria as a private individual. *Loksangraha* was the absolute principle of political life and justified the kind and degree of violence impermissible in personal life. Most Hindus did not even call it *himsā*. And even the Buddhists and Jains, who were finicky about violence in personal life, tolerated wars, prisons and even some gruesome forms of punishment.

II

Although deeply influenced by the Indian traditions of non-violence, Gandhi departed from them in several significant respects. Indeed he had little choice. They were developed within the metaphysical context of non-involvement in the world; Gandhi considered worldly involvement to be the *sine qua non* of *moksha*. They did not assign active love an important place in their moral theory; for Gandhi, it was the highest moral value. Not surprisingly, he took over the concept of *ahimsā* and defined it in a radically novel manner.[2]

Gandhi acknowledged that traditionally, *abimsā* meant non-injury and non-killing. However, he could not see why it should be defined in such 'negative' and 'passive' terms. Non-injury or non-killing did not by itself constitute *abimsā*; it was such only when born out of compassion. A thief stabbing a man was guilty of *himsā* whereas a surgeon using a knife on a patient was not, the reason being that the latter's action was motivated by a desire to alleviate pain. A man refraining from hitting back a much stronger assailant was not nonviolent, but one refusing to retaliate against a weak opponent was, the reason being that, unlike the former, he was guided by a desire not to cause harm. In Gandhi's view, it was the wish not to cause harm or destruction, that is, the 'element of conscious compassion' that constituted the 'essence' of non-violence. 'Where there is no compassion, there is no *ahimsā*. The test of *ahimsā* is compassion'.[3] He thought that even as compassion led to avoidance of harm, it could and indeed ought to lead to a positive desire to help others. And just as it was a virtue not to injure others, it was also a virtue to help those already injured and to prevent injury being done in the first instance. To restrict *ahimsā* to non-injury was therefore an 'arbitrary' and 'unjustified' restriction of its meaning. Accordingly, Gandhi distinguished its two senses. In its 'narrow', 'literal', 'negative' or 'passive' sense, it meant refraining from causing harm and destruction to others. In its 'broad', 'positive' and 'active' sense, it meant promoting their well-being. In both senses, it was grounded in compassion or love; in one, love was expressed negatively, in the other, positively. Gandhi concluded that *ahimsā* was really the same as love: it was 'active love'.[4]

Gandhi arrived at his broad definition of *ahimsā* by means of three crucial steps. He equated it with compassion and the latter with love, and defined love in worldly and activist terms. Hindus and Jains generally rejected all three, and the Buddhists the last two. For Hindus and Jains, *ahimsā* was born out of either indifference to or passive goodwill towards the world, and even the latter was not the same as compassion. Furthermore, for all three traditions, love was an emotion and hence suspect. Like all other emotions, it led to worldly attachments, tended to become addictive and compromised the agent's autonomy. Even if the Buddhist *karunā* and *dayā* were to be interpreted as love, the love involved was quite different from Gandhi's which sought passionate identification with all living beings, took worldly suffering seriously and entailed active social service. In other words, the largely negative meaning given to *ahimsā* in Indian traditions was logically required by their view of man. Gandhi was at liberty to give it an activist and positive meaning, but wrong to present it as a 'natural' and 'legitimate' extension of the old.

Gandhi was well aware of how much his view of *ahitnsā* diverged from the traditional Indian view, and made that clear on a number of occasions. He observed:[5]

Complete non-violence means complete cessation of all activity. Not such, however, is my definition of non-violence.

The first sentence indicates how he understood the traditional con-ception of non-violence; the second asserts his self-conscious departure from it. He went on:[6]

Non-violence is not a cloistered virtue to be practised by the individual for his peace and final salvation, but a rule of conduct for society if it is to live consistently with human dignity.

The first half of the sentence indicates what Gandhi took to be the central assumption of the traditional conception of non-violence, and the second his attempt to give it a wholly different orientation. He distanced himself yet further from the Indian traditions, especially the Hindu:[7]

The religion of non-violence is not meant merely for the *rishis* and saints. It is meant for the common people as well.

Gandhi here makes non-violence obligatory on all, not just the ascetics, and calls it a religion. Since religion meant to him a way of life involving total transformation of all human relationships, his remark had a radical social thrust. He observed:[8]

> Yours should not be a *passive* spirituality that spends itself in *idle* meditation, but it should be an *active* thing which will cany *war* into the enemy's camp.

In this remarkable sentence, Gandhi shows his impatience with the Indian traditions and contrasts their 'passive' spirituality and 'idle' meditation with an active war, a veritable *dbarmayuddha*, against social and economic injustices. He went on:[9]

> Our non-violence is an unworldly thing. We see its utmost limit in refraining somehow from destroying bugs, mosquitoes and fleas, or from killing birds and animals. We do not care if these creatures suffer, nor even if we partly contribute to their suffering. On the contrary, we think it a heinous sin if anyone releases or helps in releasing a creature that suffers. I have already written and explained that this is not non-violence. Non-violence means an ocean of compassion.

Gandhi had in mind here the view of non-violence prevalent in contemporary India. However he was convinced that the seeds of it lay deep in the essentially negative and passive orientation of the Indian traditions. Referring to Tolstoy's equation of non-violence with active love, Gandhi observed:[10]

> Tolstoy was a great advocate of non-violence in his age. I know of no author in the West who has written as much and as effectively for the cause of non-violence as Tolstoy has done. I may go even further and say that I know no one in India or elsewhere who has had as profound an understanding of the nature of non-violence as Tolstoy had and who has tried to follow it as sincerely as he did.

Gandhi suggested that India had a great deal to learn from Tolstoy. He agreed that it had made great discoveries in the past in the sphere of non-violence, but insisted that these were inadequate and needed to be supplemented by the insights of other religions. In effect, he told his countrymen that, contrary to their frequent claims, they not only had no

monopoly of the understanding of non-violence but also that their view of it was partial and limited. Gandhi thought that it was his historic task to integrate the profoundest insights of the Indian and non-Indian traditions of non-violence and to develop a more satisfactory view of it.

Gandhi's definition of *ahimsā* as active and energetic love leading to dedicated service of fellow men represented a radical departure from Indian traditions. Not surprisingly, his countrymen felt deeply disturbed. They not only had great difficulty coping with the new definition and its moral demands but also resented being told that they did not know what *ahimsā* meant and had been practising only a negative and pale version of it. Some of them openly chided him for creating a great and unnecessary 'moral confusion' and corrupting Hinduism by introducing the Christian doctrine of love.[11]

Gandhi was aware of the intensity of their feelings. His distinction between the negative and positive senses of *ahimsā* was intended to reassure them that he knew and respected the traditions and was only 'broadening' them to meet the 'needs of the age'. He also argued that the meanings of basic concepts were necessarily subject to the 'process of evolution' and that there was no harm in redefining them in the light of the insights of other cultures. As usual, he said, too, that he was trying to capture the 'true spirit' of the Indian doctrine of *ahimsā*, and quoted isolated supportive sentences from the scriptures. He also flattered the Indian pride by suggesting that such an extension of meaning was India's greatest contribution to the world.

Gandhi could have easily avoided upsetting his countrymen by using the term *ahimsā* in its traditional negative sense and employing another to refer to active and positive love. His reasons for refusing to do so are not entirely clear. As we saw, he seems to have genuinely believed that its positive meaning grew out of and was a legitimate extension of the old.[11] It was also his practice to take over terms familiar to his audience and to define them in the way he thought proper without much worrying about their conventional meanings; for example, his definitions of *satya, swarāj, swadeshi* and *brahmachārya*. It would also seem that since the concept of active love was relatively new to India, Gandhi's best chance of getting it widely accepted lay in attaching it to the long-established and deeply cherished concept of *ahimsā*.

III

For Gandhi then *ahimsā* meant both passive and active love, refraining from causing harm and destruction to living beings as well as positively promoting their well-being. *Himsā* was the opposite of *ahimsā*. Since the ancient Indian thinkers took *himsā* to be a positive concept, they defined *ahimsā* in terms of it. Gandhi equated ahimsā with the positive and self-contained concept of love and adopted the opposite approach of defining *himsā* in terms of it.

In Gandhi's view, love implied identification with and service of all living beings. Its opposites were malevolence and selfishness. Malevolence implied ill will towards or hatred of others, a wish to harm them even when they posed no threat to one's interests and simply because one enjoyed seeing them suffer. Contrary to what some of his commentators have said, Gandhi distinguished between self-interest and selfishness. Self-interest consisted in securing those conditions without which no man could live a fully human life. Since the earth provided 'enough for everybody's needs but not enough for anybody's greed', Gandhi thought that there was no conflict between the self-interests of all men. By contrast, selfishness meant putting oneself *above* others and pursuing one's interests *at their expense*. It was inherently aggressive and limitless, and necessarily led to conflict. While the pursuit of self-interest was morally legitimate, selfishness was not.

For Gandhi, then, *himsā* meant inflicting harm or destruction upon another living being out of selfishness or.ill will. As he put it, it consisted in causing 'suffering to others out of selfishness or just for the sake of doing so'.[12] A surgeon's use of a knife was *ahimsā*; a thief's and a sadist's use of it were respectively motivated by selfishness and malevolence and constituted *himsā*. In the Indian traditions, harm was defined widely to include not only physical but also psychological, moral and other forms of *pida* or *klesa* (pain). Gandhi accepted this broad definition of it. In his view, physical harm or destruction was the most familiar form of violence and could be caused in different ways. One might harm or kill a man by shooting him or by denying him the basic necessities of life. Whether one killed him 'at a

stroke' or 'by inches', the result was the same and the individuals involved were guilty of violence.[13]

Insulting, demeaning or humiliating others, diminishing their self-respect, speaking harsh words, passing harsh judgements, anger and mental cruelty were also forms of harm. They might, and generally did, result in physical harm, but it was not necessary that they should in order to be considered acts of violence. A lack of punctuality was also an act of harm as it caused anxiety to those involved and deprived them of their time. Not answering letters was also a form of mental cruelty and even torture, and thus an act of violence. For Gandhi, violence was a property not only of conduct but also of thought. The thought of harming another was a form of violence for, had not the social conventions, absence of opportunities and considerations of long-term interest stood in his way, the agent would have acted on it.[14] Thoughts, further, were the building blocks of character, and a man tended to become what he thought. If he got into the habit of 'living with' certain types of thought, over time they tended to appear natural and self-evident to him, blunted his sensibilities and both disposed him to act in a relevant manner and legitimised his action in his eyes. Thoughts of violence paved the way for acts of violence, and were just as bad. Like most Indian thinkers, Gandhi refused to draw a qualitative distinction between thought and action. Thought was potential action or, rather, action in its early and embryonic stage, and action was operative or active thought. The two were integral parts of the same process and constituted a continuum. A thought was therefore never a 'mere' thought.

Ancient Indian thinkers had argued that a man could be guilty of violence by committing it himself (*krita*), aiding and instigating it (*kārita*) or by watching it being committed without protest (*anumodita*). Gandhi went further and contended that a man also committed violence by participating in or benefiting from a harmful practice. Since agriculture involved violence, the Jains avoided it. However, they could not survive without its products and depended on others to engage in it. For Gandhi, this was profoundly hypocritical. It implied encouraging others to engage in violence in order that one could practise non-violence oneself, and involved enjoying the benefits of violence while disowning all responsibility for it. He observed:[15]

The very idea that millions of the sons of the soil should remain steeped in *himsā* in order that a handful of men who live on the toil of these people might be able to practise *ahimsā* seems to me to be very unworthy of and inconsistent with the supreme duty of *ahimsā*. I feel that this betrays a lack of perception of the inwardness of *ahimsā*. Let us see, for instance, to what it leads to if pushed to its logical conclusion. You may not kill a snake if necessary, according to this principle, you may get it killed by somebody else. You may not yourself forcibly drive a thief away but you may employ another person to do it for you. If you want to protect the life of a child entrusted to your care from the fury of a tyrant, somebody else must bear the brunt of the tyrant's fury for you. And you thus refrain from direct action in the sacred name of *ahimsā*! This, in my opinion, is neither religion nor *ahimsā*.

Gandhi observed that a similar situation occurred at the political level. Many votaries of non-violence condemned the institutionalised violence of the state, but enjoyed the order and security provided by it. And though they did not themselves fight in wars, they happily paid soldiers to do so for them. For Gandhi, this too was hypocritical. The violence of the state did not disappear merely by shutting one's eyes to it, and one did not become non-violent by conveniently transferring the moral burden of inescapable violence upon the shoulders of others.[16] Such non-violence fed off and was made possible by the violence of others, and did not absolve the individual concerned from his responsibility for the violence involved. Indeed, insofar as his conduct added hypocrisy to violence, it was doubly reprehensible. Like salvation, non-violence was indivisible. Either all were nonviolent, or none was. It simply could not be practised by running away from the world, only by entering and changing it. Gandhi's departure from the Indian traditions could not have been more radical and decisive.

Although Gandhi vacillated on the subject, he seems to have thought that self-inflicted or self-directed harm was not violence. The Indian traditions contained scattered references to *ātma-himsā* (violence to oneself) and *ātma-ahimsā* (non-injury to oneself), but they generally defined violence as injury to *para* (another being). Gandhi shared this view and remarked on several occasions that violence meant 'causing injury to another'[17] For Gandhi a suicide was guilty of cowardice, not violence. If a man inflicted harm upon himself in order to force another to meet his demands, that was

violence only because he caused psychological harm to the latter. It would seem that Gandhi was inconsistent in taking this view. As he defined it, infliction of harm or destruction was violence when motivated by selfishness or ill will, and it is certainly possible for a man to be guided by either in his relation to himself.

For Gandhi, then, *ahimsā* meant active love and involved both refraining from causing harm to others in the broad sense in which he used the term, and helping them grow and flourish. *Himsā* meant harming others out of ill will or selfishness. Harm caused to others in the course of pursuing one's legitimate or just self-interest was *not himsā*. Although Gandhi broke with the Indian traditions in several crucial respects, his break was not complete. His view of non-violence retained a subjectivist orientation characteristic of them, as he too defined it in terms of the motives of the agent. For them, as for him, *himsā* involved *ill will*, a *wish* to harm others, and hence harm did not constitute *himsā* if the element of malevolence was absent. Since human motives are largely opaque to others and sometimes even to the agent, Gandhi's definition was not easy to apply. Again, the Hindus had argued that harm caused in the interest of *loksangraha* and the maintenance of *dharma* was not *himsā*. Gandhi came close to sharing this *dhārmic* view of violence, as he too argued that harm caused in the pursuit of legitimate or just self-interest did not amount to *himsā*. The dividing line between self-interest and selfishness is thin and not easy to draw. And, as for the concept of legitimate or just self-interest, it is normative and open to dispute. Not surprisingly, like the Hindu view, Gandhi's definition left room for considerable disagreement and even casuistry.

IV

Insofar as Gandhi departed from the Indian traditions of *ahimsā* in significant respects, many of his opinions and actions surprised and bewildered his countrymen. One relatively trivial incident acted as a catalyst and brought home to both the radical novelty of his doctrine.[18] A calf in his *āshram* was badly maimed and in acute agony. All possible medical treatment was given to it. When a surgeon whose advice was sought declared it past hope, Gandhi asked him to administer it a lethal injection. His action provoked a storm of protest, some accusing him of senility and some even wishing him death.[19] The Jains who, like many of his commentators, had made the predictable mistake of taking his theory of *ahimsā* to be substantially similar to theirs, were most bitter; the Hindus only a little less so.

Gandhi's critics raised four objections. First, according to the Indian doctrine of *ahimsā* life was sacred and inviolable and the deliberate killing of a living being was never justified. Second, although Gandhi talked about love, his action betrayed a lack of love for the calf, for love could never kill. Third, if we were consistent, he would have to kill a human being under similar circumstances, and that would be most immoral. Finally, he was under 'Western' influence in thinking that the alleviation of pain was far more important than the preservation of life.

Gandhi was deeply hurt and, judging by the tone of his reply, angered by the criticisms. Not surprisingly, he used the occasion to launch a scathing general attack on the three Indian traditions, especially the Jain. He rejected the view that killing was never justified and that all killing was violence. His critics had 'wrongly' assumed that death was always worse than life, for sometimes life was so painful and unbearable that death was preferable. When a living being was in unbearable and incurable agony, not to kill it was an act of *himsā*. Gandhi said he had killed the calf in its own 'interest' and for its own 'benefit'. He had tried to nurse it and soothe its pain. When it was found to be past hope and help, he was left with no choice. 'There is violence when the intention is to give pain, otherwise it is only an act of killing'.[20] If he had killed the calf because *he* could not bear to see it suffer, his action would have been motivated by selfishness and amounted to

violence. In fact he had killed it because *it* could not bear its pain. His was thus an act of 'non-violent killing'. For Gandhi's critics, as for the Indian traditions, *ahimsā* meant non-killing, and hence Gandhi's was *not* an act of *ahimsā*. For Gandhi, it meant active love, and hence it *was* an act of *ahimsā*.

Gandhi rejected the charge that his act betrayed a lack of love for the calf.[21] Love implied care and concern for others and a desire to do all one could to relieve their suffering. He had killed the calf because he loved it and wanted it to meet its certain death without any more pain. The 'horror of killing' displayed by his critics was not *ahimsā* but effete sentimentality. Indeed, since they would not end the calf's pain because they could not bear to see its life terminated, they were acquiescing in its pain for selfish reasons, and not he but they were guilty of violence.[22] They made a 'fetish' of non-killing, and this had so 'drugged' their conscience that they did not even know what 'true' *ahimsā* was. To equate *himsā* with killing and *ahimsā* with non-killing was to be 'blind' to the whole range of activities which, though apparently non-violent, were in fact violent. His wealthy critics, Gandhi argued, paid their workers substandard wages and did nothing to relieve widespread poverty and degradation. Since they did not kill anyone, they assumed that they were non-violent. In fact, they 'committed violence on a large scale in the name of non-violence' and were guilty of 'crass hypocrisy'. There was 'far more violence in the slow torture of men … and wanton humiliation and oppression of the weak and the killing of their self-respect … than in mere benevolent taking of life'.[23]

As to whether he would have acted in exactly the same way if the calf had been a human being, Gandhi answered in the affirmative with the important qualification that 'natural differences' between man and animal ruled out 'a complete analogy'. Unlike the animal, man was able to express his wishes, and hence others were at liberty to decide for him only if he was unable to do so himself. Furthermore, a human body was 'much more manageable in bulk', and therefore easier to nurse. Even if he was past hope, a critically ill man was often not past help and could be nursed and soothed until his death.[24] If, however, one was convinced after disinterested reflection that nothing more could be done to relieve his pain and that his death was inevitable, one was at liberty to end his life. Gandhi proposed the following guidelines.[25]

To recapitulate the conditions the fulfilment of *all* of which alone can warrant the taking of life from the point of view of *ahimsā*:

1. The disease from which the patient is suffering should be incurable.
2. All concerned have despaired of the life of the patient.
3. The case should be beyond all help or service.
4. It should be impossible for the patient in question to express his or her wish.
5. So long as even one of these conditions remains unfulfilled the taking of life from the point of view of *ahimsā* cannot be justified.

In a different context, Gandhi took the hypothetical case of a man whose half-slashed head was hanging loose from the neck and who was in excruciating pain. At his request or out of compassion, a passerby decided to terminate his life. Gandhi argued that this was not an act of violence. The passerby did not wish to cause him harm; on the contrary, he intended to relieve his pain. On another occasion Gandhi was asked for his comments on an actress who had killed her lover suffering from an incurable disease and in unbearable pain. He replied that hers was not an act of violence as 'understood and defined' by him.

Gandhi went on to argue that preservation of life at all cost had no sanction either in the Indian traditions of *ahimsā* or in the general principles of morality.[26] *Ahimsā* ruled out all forms of selfishness, including 'blind attachment' to life.[27] If the death of a man suffering from an incurable disease was only a matter of time, it was morally wrong of him to wish to delay it at all cost, not so much because it caused hardship, suffering and expense to those looking after him as because it showed 'cowardice' and 'sordid egoism'.[28] Since his death was certain, he should be prepared to let go of life with courage and dignity. If he was unwilling to do so, he should be persuaded to accept the inevitable. Although Gandhi was convinced that others had no moral duty to 'nurse his longing for life in all circumstances', he insisted that no life should be terminated without the consent of the individual concerned.[29]

Gandhi's critics had accused him of being under 'Western' influence in preferring death to pain in certain circumstances.[30] Throughout his life he was unusually sensitive to the charge, both because he loathed cultural

parochialism and because he had absorbed a number of Western ideas and did not want orthodox Hindus to be unduly alarmed or alienated by them. He rejoined that though he saw nothing wrong in learning from the West, in this particular case his views were derived from the Indian traditions. He contended, without offering any evidence, that the relief of pain had always been the first priority in the Indian, especially the Hindu, tradition of *ahimsā*. No doubt killing living beings was bad. However, if it was designed to eliminate pain in the context of certain death, the tradition not only sanctioned but required it. Gandhi conceded that the Jains might disagree, but thought that they were wrong. He observed:[31]

> The concept of non-violence in our religion is framed from the standpoint of the pain that we may cause another individual. Why should there be any outcry where death is caused either accidentally or deliberately but without any thought of causing pain? If there is not the fear of death behind that outcry, what else is it?

Gandhi was perhaps aware that he was putting a dubious gloss on the Hindu tradition. The following remark beautifully captures his mood of defiance and reassurance, and illustrates his strategy of using the authority of the tradition when he approved of it and rejecting it when he did not. He observed:[32]

> I have arrived at my views independently of any authority, though originally they may have been drawn from various sources, and I submit that they are in perfect consonance with *ahimsā* even though they prove contrary to the teaching of the philosopher.

Gandhi here insists that although his views have been inspired by the Indian traditions, they are products of independent thought and must be judged on their own merits and not in terms of their conformity to a specific tradition. At the same time, he does not hesitate to assert that his views are in 'perfect consonance' with the Indian traditions, and hence binding on his countrymen! Aware that this might not be the case, he skilfully pre-empts a counter-attack by insisting that he is not interested in any of the Indian philosophers whose writings might be cited against him!

V

The cases discussed so far were relatively simple and Gandhi had little difficulty dealing with them. Political life confronted him with many difficult situations and stretched his ingenuity to the fullest. Here he was concerned not with individuals but with collectivities whose inescapable conflicts of legitimate interests raised extremely complex moral issues. We shall analyse one such situation by way of illustration. In the course of the Non-cooperation Movement of 1920, Gandhi successfully urged a boycott of British textile goods, as a result of which many workers in Lancashire mills lost their jobs and suffered considerable hardship and some even starved. Since it was his boycott that had inflicted the harm, many of his British and even some Indian critics accused him of violence. Gandhi could have admitted the charge and pleaded that it was a case of justified violence. Instead, he insisted that it could not 'by any law of morals be held to be an act of violence'.

First, he bore no ill will to the Lancashire mill-workers and did not intend to cause them harm.[33] He was only concerned to assert India's right not to co-operate with the government it loathed, and the hardship caused to Lancashire workers was its unintended and incidental consequence. When told that he could have easily foreseen the harm and must therefore be deemed to have intended it, Gandhi rejoined that anticipating or foreseeing consequences was not the same as intending them. Intention implied a *desire* or a *wish*, and that was clearly absent in his case. Though he had foreseen the hardship, he positively regretted it and was prepared to do all in his power to alleviate it. Since every action had infinite consequences, many of which were unspecifiable or only became manifest after a long time, it should and indeed could only be judged on the basis of those desired or wished for and in that sense intended by the agent.[34]

Second, like Britain, India had a 'right and a duty' to protect its 'just and legitimate interests' and could not be expected to acquiesce in the unemployment and starvation of its people brought about by the destruction of its indigenous industries. In protecting its industries, India was not being selfish, only pursuing its legitimate self-interest.

Third, India might be required to sacrifice even its legitimate interests if it had 'bound' itself by an implicit or explicit agreement, and thus required a 'duty' to protect those of the Lancashire workers at all cost. In actual fact it had never done so. Being imposed and maintained by violence, die trade agreements between the two countries could never generate a moral obligation.

Lest his reasoning should appear to be a case of special or specious pleading, it should be emphasised that Gandhi advanced similar arguments in other contexts. If men stopped visiting brothels and their inmates starved, he did not see how they could be accused of violence. Or if they stopped borrowing money from money-lenders who were thereby put out of business and suffered acute hardship, he did not see how they could be accused of violence either. However, Gandhi thought that they could be so accused if they 'transferred their custom from one money-lender to another through ill-will or spite or without just cause', as the harm they then caused was intended and wished for and not required by the legitimate pursuit of their self-interest. An American critic put to him a fascinating hypothetical case. Suppose van drivers in charge of delivering milk in New York were paid starvation wages. Having exhausted all peaceful means they decided to strike, as a result of which some young children were deprived of milk and died. Gandhi argued that the van drivers' strike was 'certainly not an act of violence'. First, it was 'not designed' to cause the deaths, which were in fact deeply regretted. Its sole purpose was to secure higher wages, and the municipality, not the children, was its target. Second, the van drivers had a right and a duty to promote their 'just' and 'legitimate' interests. If they had struck because they disapproved of the way the municipality was run and intended to put pressure on it, they would have been guilty of a 'crime against humanity'. This was, however, not the case. Third, they had not 'bound' themselves and incurred an obligation to supply milk to the children at all cost and under all circumstances.

Though the van drivers were not guilty of violence, they were guilty of causing harm. However, Gandhi thought that only *minimal* blame attached to them. Like all human beings, they had a general duty not to cause harm to their fellow men. Since the duty devolved upon all men and not just them, the extent of their responsibility was reduced. Further, the New York municipality was officially responsible for ensuring the regular supply of

milk to the children under its care. It had therefore an obligation to ensure that all those involved in the long chain of supply were reasonably contented and willing to discharge their duties. A collective enterprise required the cooperation of a number of people and depended upon each to do his share. The municipality could not consistently ask the drivers to discharge their duties while neglecting its own duties to them, and it could not legitimately expect them to be mindful of the interests of its clients while itself remaining insensitive to theirs. Had the drivers gone on strike for reasons unrelated to their legitimate interests, their case would have been very different. In fact, they were only asking for decent wages and their strike was a desperate and defensive measure. Although as moral beings they could not be totally absolved of the responsibility for the consequences of their strike, responsibility must primarily be laid at the door of the municipality.

Gandhi's discussion of these cases was informed by the crucial distinction between harm and violence noted earlier. As a lifelong fighter against all manner of injustices, he had come to feel that the distinction was central to every critical social theory. The oppressed and the exploited could not by definition pursue their just and legitimate interests without altering the established pattern of relationship and thereby adversely affecting the interests of their masters. Almost everything they did to improve their lot harmed the latter. If harm were to be equated with violence, they could always be morally disarmed and blackmailed into accepting the *status quo*. For Gandhi, the harm caused *by* them was qualitatively different from that done *to* them by their masters. First, it was wholly defensive. Second, unlike the harm done to them, it was incidental to the legitimate pursuit of their interests and not born out of ill will or exploitative intentions. Third, their actions resulted in harm only because they had to function within an unjust system forcibly imposed upon them. As Gandhi put it, if a man threw off another accustomed to riding on his back, he could not be held responsible for the latter's minor bruises. Finally, the oppressed did not deny their masters' equal right to pursue their legitimate interests and only challenged their right to do so at others' expense.

Since the two kinds of harm were morally asymmetrical, Gandhi insisted that they should not be given the same name. To do so was to be guilty of moral blindness and to do a grave injustice to victims of oppression. Even

to call the harm caused by them justified or defensive violence or counter-violence was to imply that it was basically of the same kind as the harm done to them. According to Gandhi, when there was no moral equivalence there should be no linguistic equivalence either. As a political activist, he well knew that disputes about words were never merely verbal.

VI

Gandhi shared the poignant vision of life characteristic of much of the Indian, especially Jain philosophy, and deeply regretted that fact that human existence was impossible without violence.[35] Men destroyed millions of living organisms in the course of breathing, walking, eating, drinking, cultivating land, using insecticides and disinfectants, lighting fire and building houses. Gandhi never defined life, a serious omission in a theorist of non-violence, and tended to equate it with a capacity for spontaneous growth rather than consciousness. In his view, there was life in 'each grain of food' men consumed and even in fruits and vegetables. The body was a 'house of slaughter' and compelled man to 'drink a bitter drought of violence' every second of his life. Gandhi observed:[36]

> The world is bound in a chain of destruction. In other words, *himsā* is an inherent necessity for life in the body. This is why a votary of *ahimsā* always prays for ultimate deliverance from the bondage of flesh.

He vacillated on the question of whether human life was superior to the non-human.[37] Sometimes he argued that all life was equally sacred. Sometimes he said that as a human being, he was biased in favour of human life and would like it to be preferred although he could not find a convincing justification for his view.[38] More often, however, he argued that since men were self-conscious, rational and moral beings they had a greater moral worth.[39] This did not give them an 'absolute' superiority over animals and a right to do with them what they liked, for animals too were legitimate members of the cosmos. Rather, men *may* take animal life and subordinate animal interests to theirs only when absolutely necessary for their survival and under clearly defined conditions.

Not only man's physical survival but also his social existence was characterised by pervasive violence. Wittingly or unwittingly, men harmed one another in the ordinary course of life and needed the coercive discipline of the law. The strong tended to exploit and oppress the weak and had to be fought. Criminals had to be punished and bullies restrained, and that required the institution of prisons. Organised life was impossible without

the state, which was nothing but concentrated violence. States threatened one another and needed to protect themselves.

Human existence then seemed impossible without some measure of violence. Gandhi argued that this inescapable fact had been used over the centuries, and especially in the modern age, to justify almost every kind of violence. The fact that men might legitimately do violence to nature in the interest of their survival was taken to imply that they enjoyed absolute lordship over it and were free to do with it what they liked. The fact that the state had to maintain order and restrain criminals was taken to justify a vast coercive apparatus consisting of inhuman prisons, brutalising punishment, torture and the heavily armed police. Its right to defend its way of life was taken to imply that it had a duty to defend every inch of its territory whatever the cost to its way of life and to resort to wars involving a massive destruction of life. The moral duty to fight against injustice and oppression was used to legitimise most horrendous forms of revolutionary violence. The fact that sometimes victims of oppression understandably lost their patience and resorted to violence was used to justify all their violent deeds. Gandhi was deeply worried about the way in which the limited legitimacy of violence in human life was so easily turned into its general justification, and the range of its permissible uses so extended that violence became a rule rather than an exception. He thought that this happened because once violence was considered morally justifiable, men kept taking advantages of the exceptions and made no attempt to find alternatives. In his view the only way to avoid this recurrent human tendency to emasculate moral ideals was to adopt the opposite approach of insisting on the possibility and desirability of a *completely* non-violent life and placing the onus of justification on those seeking to make exceptions. Rather than ask when violence was justified, we should ask when a breach of non-violence may be forgiven. Gandhi's view was derived from his general approach to moral life. A few words about it will clarify the point.

Gandhi understood moral life in the image of Euclidean geometry. Euclid's straight line, circle and triangle could never be drawn, but that did not in any way limit the value of his definitions of them. Being freed of all human limitations, they acted as unchanging loadstars inspiring a search for more refined instruments. If Euclid had taken human limitations into account and defined a straight line and triangle accordingly, they would

perhaps have been drawn a long time ago and the highly sophisticated modern instruments of measurement would never have been invented. His inherently unrealisable definitions were necessary conditions of scientific inquiry and progress.

Gandhi saw moral life in similar terms. By their very nature, moral ideals made most exacting demands. There was, therefore, a common human tendency to circumscribe their scope, introduce exceptions, lazily accept the limitations imposed by the established social order and the accustomed way of life, and to enjoy the satisfaction of leading a moral life without sacrificing any of the usual comforts. Over time, the exceptions multiplied and all but subverted the moral ideals. Gandhi was concerned to combat such a moral and 'spiritual inertia'. At the same time, he acknowledged that like the Euclidean definitions, moral ideals could never be fully realised and that to ask men to live 'beyond their capacity' was to burden them with an unbearable sense of guilt and to destroy their moral self-respect.

It was to meet this dual requirement that Gandhi introduced the absolute-relative distinction in moral life. Moral ideals must remain absolute and intolerant of exceptions, and their votaries must be expected to live by them. The obvious limitations of their capacity, circumstances and accustomed life-styles would naturally prevent them from doing so, and hence they must be expected constantly to explore how they should change these in order better to realise the ideals. Since they would have done their best at any given point of time, they had no reason to torment themselves and feel demoralised. Since, however, they would have failed to live up to them, they had every reason to feel dissatisfied and to strive yet harder. For Gandhi, such a creative but non-debilitating sense of discontent was the only possible source of moral progress and had three advantages. First, it did not compromise or 'relativise' ideals, which thus continued to act as 'permanent loadstars' in the moral navigation of life. Second, it surrounded the inevitable failure to live up to their full rigour with a sense of dissatisfaction and encouraged creative experiments. Third, by not demanding more than what the moral agent could do at a given time, it did not destroy his self-respect and self-confidence.

Applying this 'Euclidean view' to violence, Gandhi contended that, although its use was pardonable, excusable or understandable, it was never *justified*. He observed:[40]

Therefore, when I say that the use of force is wrong in whatever degree and under whatever circumstances, I mean it in a relative sense. It is much better for me to say I have not sufficient non-violence in me, than to admit exceptions to an eternal principle. Moreover my refusal to admit exceptions spurs me to perfect myself in the technique of non-violence.

Gandhi went further and argued that just as every science rested on certain unquestioned postulates or axioms, the 'science of non-violence' rested on the 'postulate' of its 'absolute efficacy'. A sincere votary of non-violence must commit himself to the belief that it never failed and that it overcame *all* violence, including that of the wildest animals and lunatics. Only such a belief guarded him against taking a lazy recourse to violence in difficult situations and inspired him to conduct bold and imaginative experiments. Gandhi was ambiguous about the logical character of the postulate. Sometimes he thought that it was, like Euclid's axiom, a statement of logical possibility. More often he thought that it was a scientific hypothesis based on evidence. Asked if one should use physical force to restrain a lunatic going about murdering people, Gandhi replied:[41]

I will excuse it for all time. But I would not say it is justified from the non-violent standpoint. I would say that there was not that degree of non-violence in you to give you confidence in purely non-violent treatment. If you had, your simple presence would be sufficient to pacify the lunatic, Non-violence carries within it its own sanction. It is not a mechanical thing. You do not become nonviolent by merely saying, 'I shall not use force'. It must be felt in the heart. There must be within you an upwelling of love and pity towards the wrong-doer. When there is that feeling, it will express itself through some action. It may be a sign, a glance, even silence. But such as it is, it will melt the heart of the wrong-doer and check the wrong.

Gandhi was convinced that wild animals attacked human beings only when they apprehended threats unwittingly conveyed by a gesture, a stare or a movement of the body. He said he had heard of cases of them having been calmed and won over by love. He also pointed to several mythical characters in the Indian religious literature who had conquered the intense hatred of their enemies and the ferocity of wild animals by the sheer power of their love. Gandhi's view, largely based on mythology and hearsay and supported by no evidence, was not unique to him. It went as far back as

Patanjali who had averred that all violence ceased in the presence of pure non-violence, a remark frequently quoted by Gandhi. And even in modern times, such religious men as Ramkrishna Paramhamsa, Raman Maharishi and Jai Krishnamurti claimed to have 'proved' the all-conquering power of love. None of them offered any evidence for their inherently unfalsifiable assertion.

Having postulated the ideal of a completely non-violent existence, Gandhi went on to discuss different areas of life to explore why and where they required exceptions and how these could be minimised.

As we saw, man's very survival entailed considerable violence to non-human beings.[42] Since it was 'unavoidable', Gandhi called it 'less sinful'. It is not entirely clear what he meant by this. Sometimes he said that since it was not a matter of choice, it was *less of a sin*; on other occasions he said that it remained just as sinful, but that its unavoidability rendered man less *responsible* for it. In any case, Gandhi was convinced that it could be considerably minimised by restricting and refining human wants. Man had a right to lead a moderately comfortable life in order to realise his full moral and spiritual potential. All wants beyond that point were superfluous and morally illegitimate. Their restriction was doubly beneficial; it spared the lives of millions of non-human beings and increased man's powers of self-discipline. Although he advocated vegetarianism, Gandhi was prepared to concede that a non-vegetarian diet was perhaps justified in countries with a cold climate or a limited supply of fruits, vegetables and arable land. Eating more than necessary for survival, constructing large houses, wearing silk, sporting pearls, unrestrained use of insecticide, environmental pollution, extensive cultivation of land, large-scale industrialisation, pointless accumulation of wealth, and so on were all avoidable causes of violence.[43] Since considerable violence was entailed even by a life of restricted wants, Gandhi proposed that men should compensate for it by taking tender care of nature and animals and by doing all in their power to alleviate human and non-human suffering.

Protection of human life was the second frequent source of violence.[44] When Gandhi frightened away and injured monkeys interfering with crops in his *āshram*, he was criticised for adopting the 'Western utilitarian attitude' to life. He agreed that his was an act of violence and asked his colleagues and correspondents to help him explore non-violent alternatives.

When snakes appeared in his *āshram* from time to time, he asked that they not be killed but caught and released in safe places. When asked what should be done if a child was attacked or a man lynched by a mob, Gandhi replied that one should interpose oneself between them, reason with the people involved and, if need be, give up one's life. If this seemed unlikely to work or if one lacked the required courage, then violence was pardonable. Gandhi observed:[45]

> God would not excuse me if, on Judgement Day, I were to plead before Him that I could not prevent these things from happening because I was held back by my creed of non-violence.

During communal riots, his advice was constantly sought by victims of rape. He advocated non-violent and, if that did not work, violent resistance. Not that women were to carry knives and pistols; rather, they were to use their 'nails and teeth' and whatever other physical resources they could muster. He thought that if some of the dishonoured women were to die in the course of resisting their assailants or to commit suicide afterwards, deep moral nerves would be touched and a new climate created in which men would be ashamed to commit rape.

Preservation of organised social life was yet another source of violence. Gandhi thought that although the state was created to minimise and even eliminate violence, it often failed to do so in practice and gave rise to new forms of violence. It made a fetish of its boundary and without the slightest compunction killed thousands in defence of a few acres of land. It saw every act of disorder as a challenge to its majesty and sought to forestall it by establishing a system of terror. It treated armies as symbols of national honour and political virility, and spent vast sums of money equipping them with the latest and most lethal means of destruction. Like a child with a dangerous toy, the state's ready access to concentrated violence was a standing invitation to governments to misuse it.

For Gandhi, the answer lay in redefining the nature of the state and appropriately restructuring its institutions.[46] The state was a cultural rather than a territorial unit concerned to safeguard an established way of life. A way of life was not a monolithic unit but a confederation of sub-cultures and ways of life, each more or less open and subject to constant change. Every society consisted of long-established communities which gave its

members roots and a sense of meaning and purpose. Rather than feel threatened by them and replace them with one over-arching and all-embracing association as the modern state had hitherto done, it should protect them and encourage the creation of new ones. The state should become not a collection of isolated individuals with nothing to unite them save their abstract citizenship, but a community of communities, a loosely structured federation of lively and organic social units.

In such a plural polity, moral ties, pressure of public opinion and enlightened self-interest could go a long way towards reducing the incidence of violence. Since men and women would have to resolve their differences themselves and since they would know that they had to live together and rely on each other's goodwill and cooperation, there would be less conflict, and such conflict as did occur would be less intense and easily resoluble. Order would be easier to maintain when embedded in a cooperative way of life and grounded in a climate of mutual trust and goodwill. Self-governing local communities and associations could take over many of the functions currently monopolised by the government and thus increasingly reduce the role of law and coercion. The police could be replaced by social workers enjoying the respect and affection of their fellow-citizens and trained in the arts of moral leadership and non-violent peace-keeping. The standing army could be replaced by citizens trained in the methods of nonviolent national defence and prepared to lay down their lives rather than live under foreign rule.

Gandhi was convinced that a good deal of the external and internal violence of the state grew out of the need to maintain an unjust and exploitative economic system. He did not share the view that a revolution was the best way to achieve a just and humane society. It replaced one system of injustice with another, invested the state with enormous power and stifled the moral energies of society. It treated men and women as passive objects and did nothing to win over the dominant groups. Gandhi felt that *satyāgraham* was the only effective and moral way to tackle the problem. Every oppressive and exploitative system ultimately depended on the cooperation of its victims, and it would not last a day without their active or passive material and moral support. If they refused to cooperate with it, launched a *satyagraha* and suffered with love and determination whatever punishment was meted out to them, they would eventually win

over their erstwhile masters and restructure the system along desired lines. Gandhi was realistic enough to recognise that weak and disorganised men and women did not always find it easy to resist the use of violence, especially when confronted with determined and rutliless opponents. Although such violence was regrettable, it was 'understandable' and 'pardonable'. In 1942, he gave several important interviews to Louis Fischer in the course of which he discussed the likely peasant movement in independent India.[47]

> *Gandhi*: In the villages the peasants will stop paying taxes. This will give them the courage to think that they are capable of independent action. Their next step will be to seize the land.

> *Fischer*: With violence?

> *Gandhi*: There may be violence. But then again the landlords may cooperate.

> *Fischer*: You are an optimist.

> *Gandhi*: They might cooperate by fleeing.

> *Fischer*: Or they might organise violent resistance.

> *Gandhi*: There may be fifteen days of chaos, but I think we could soon bring that under control.

The struggle for human dignity and freedom in general and political independence in particular was of special and immediate interest to Gandhi. He was convinced that the reign of violence could not be ended by adding to it and that non-violent struggle was the only answer. However, he realised that non-violence did not come easily to those not fully trained in and committed to it, and that rhost ordinary men and women resorted to violence when provoked 'beyond endurance'. Although morally unacceptable, such violence was 'understandable'. While all violence was 'bad and must be condemned in the abstract', it was important to distinguish between its different forms and contexts. Defensive violence was morally superior to the offensive, as it was largely reactive and provoked by the opponent. Spontaneous violence was a result of accumulated frustration and superior to premeditated violence.[48] The violence of long-suppressed groups lacking the capacity for concerted

action was more 'understandable' than that of those with an opportunity to participate in political life and to develop organised strength. Though regrettable, the violence of those who had been humiliated and brutalised for centuries was not 'senseless' and served the useful purpose of helping them acquire a sense of power and dignity. Desperate violence by isolated individuals and groups in the face of an overwhelming violence by their oppressors was often the only available way to preserve their human dignity. Indeed, since it was largely symbolic and 'unequally matched', it was 'really' or 'comparatively1 non-violent. The Polish resistance to German invaders during the second world war was, like the resistance of a mouse to a cat, 'almost non-violent'.[49] Although it was 'thoughdess', the violence committed during the 'Quit India' movement of 1942 was born out of 'sheer desperation' and 'provoked by the government'. When Gandhi came to know that prisoners were tortured in some of the princely states of India, he advised them that if they could not do so non-violently, they should 'resist the tortures with all the violence they can summon from within and die'

Finally, Gandhi argued that although non-violence was far superior to violence, the latter was 'infinitely' better than cowardice. A coward lacked 'manliness' and was commited to nothing more elevated than sheer survival. By contrast, a man prepared to use violence had pride and self-respect and was prepared to die rather than surrender what he held dear. Forgiveness was certainly better than vengeance, but the latter was 'any day superior to passive, effeminate and helpless submission'. Furthermore, a violent man might one day be won over to non-violence, whereas a coward was beyond hope. 'We do want to drive out the beast in man, but we do not want on that account to emasculate him. '[50] Gandhi also thought that violence had at least some deterrent effect and might reduce its future incidence whereas cowards only fed the voracious appetite of the bullies.[51]

VII

In the earlier sections we outlined and commented on different aspects of Gandhi's theory of *ahimsā*. Before concluding the chapter, we might comment on one of its striking and paradoxical features. On the one hand, he carried *ahimsā* much further than any other theorist of it had ever done. Unlike most of them, he did not merely attack wars but also the institution of the state, including armies, the police and prisons. And. unlike almost all of them, he showed a remarkable sensitivity to the non-human world and insisted on the 'absolute efficacy' of *ahimsā*. On the other hand, he permitted or condoned violence in many more types of situation than most of them had done. He drew fine, sometimes too fine, distinctions between different forms and levels of violence and even called some of them 'almost' or 'comparatively' non-violent. He freely used the vocabulary of vioience and called *satyāgraham* 'non-violent warfare' or 'war without violence', his followers non-violent 'soldiers' or an 'army for swaraj', and himself their 'general' or 'dictator'. He also borrowed some of its organisational tools and modelled some of his *satyāgrahas* after the army requiring oaths, pledges and unquestioning obedience. His Indian and Christian critics were not entirely wrong to suggest that his nonviolence had an air of militancy about it and shared far more in common with violence than he realised or cared to admit.

The apparently paradoxical character of Gandhi's theory is traceable to several sources of which two are relevant to our discussion. First, for him, non-violence was not the only or even the highest value and had to be reconciled with such other values as truth (which he defined broadly to include justice and integrity), national independence, courage, human survival, self-respect and dignity. He knew that these values sometimes conflicted and that non-violence could not always be given moral priority. Second, Gandhi's theory was developed in the context of and intended to guide political action. Unlike most theorists of non-violence who were religious men primarily concerned to preserve their moral integrity in the face of evil, Gandhi led a great national movement aiming to liberate and regenerate a long-subjugated and diffident people. He had therefore little choice but to adjust his theory to the inescapable constraints of political life and mass action. He knew that a principle which took no account of the

logic of its context was doomed to impotence. Having condemned all acts of violence early in his political career in India, he began to appreciate that a complete embargo on it was neither realistic nor desirable. Desperate and oppressed people unused to disciplined non-violent action and provoked beyond endurance were bound, at times, to lose patience and to resort to violence. Setting diem an impossible ideal not only demoralised them but also discredited the doctrine of nonviolence. A calculated use of violence as a matter of deliberate policy was one thing; a spontaneous recourse to it under intense provocation was altogether different. Gandhi thought that no inconsistency was involved in condemning the former but reluctantly acquiescing in the latter. He knew that he stood a better chance of regulating, reducing and eventually eliminating violence by acknowledging and finding a limited and clearly defined moral space for it in his political theory than by abstractly condemning or shutting his eyes to it.

While Gandhi was right to recognise moral plurality and to adapt his theory to the intractable world of politics, the way he went about his task created acute difficulties. He knew that his ideal of a completely non-violent society was unrealisable and that violence was necessary, unavoidable or understandable when used in the pursuit of such values as individual and social life, justice, the assertion of human dignity and the development of courage or when provoked by unbearable oppression. However, he did not show how these values were grounded, why they were desirable, what was to be done when they conflicted, how much moral weight to assign to each of them and how they were related to the principle of non-violence. Nor did he clarify whether his list was exhaustive or whether there could also be other values limiting the scope of non-violence. Since the values were not *internally* related to non-violence, Gandhi's resolution of their conflict lacked a guiding principle and remained *ad hoc* and a matter of his personal preferences.

Since Gandhi's moral theory contained a mass of disparate and internally unrelated values, it remained extremely loose and open-ended and was unable to offer much guidance to his followers. For example, they could not decide whether they were justified in launching a *satyāgraham* when there was a risk of violence. Gandhi's *theory* pointed both ways. His *practice* did not help much either. He disapproved of peasant *satyāgrahas* in the thirties on the ground that they were likely to lead to violence. Vet he approved of

them in his interview with Louis Fischer and launched the Quit India movement in 1942 in full knowledge that some violence was bound to occur. Take another rather trivial case. He said that his *ahimsā* ruled out a non-vegetarian diet, especially when fruits, vegetables and agricultural products were available in plenty. But he also said that if a man was used to it and likely to be hurt when denied it, he should be provided with a non-vegetarian diet as the violence involved in denying it to him was greater than that of killing an animal! Accordingly, he served meat to such visitors to his strictly vegetarian *āshram* as Louis Fischer and Maulana Azad. Many of his Jain and Hindu followers were puzzled and some were deeply offended by his behaviour. They thought that he could have persuaded his guests to refrain from a non-vegetarian diet while they were in the *āshram* and that, while he was solicitious about their needs, he did not much care about the sentiments of his fellow-*āshramites* especially the women. Since Gandhi's *ahimsā* could be interpreted in several different ways, it led to confusion and casuistry.

Gandhi often remarked that it was not his job to tell people how to organise their lives and that each of them should sincerely decide for himself how best to practise *ahimsā*. This obviously would not do, for sincerity by itself is too vague a guide to the complexity of life and too feeble a protection against conscious and unconscious self-deception. Furthermore, Gandhi was not and did not see himself as a private individual living his life as he pleased. He was a moral 'scientist' engaged in conducting moral 'experiments' with a view to discovering a new *yugadharma* for his countrymen. Those attracted to his ideals were therefore entitled to expect a guiding framework other than his own practice. In its absence they felt lost and invoked his authority to sanction contradictory modes of conduct.

Traditionally, Hindu moral theory has oscillated between providing, on the one hand, an elaborate code of conduct regulating the minutest details of life, and, on the other, a set of highly abstract ideals with the minimum possible rules to guide their practice, for the most part recommending the former for ordinary men and women and the latter for the moral elite. This has often led to unthinking conformism at one end of the social spectrum and limitless freedom lacking crucial navigaticnal devices at the other.

Gandhi's moral theory not only failed to solve this traditional Hindu dilemma but accentuated it.

Chapter 4

1. For good discussions of the Indian traditions of *ahimsā*, see Unto Tähtinen *Ahimsā: Non-violence in Indian Tradition* (Ahmedabad: Navajivan, 1976); D. Bhar-gava, *Jaina Ethics* (Delhi: Motilal Banarasidas, 1968); T.K. Unnithan and Yogendra Singh, *Traditions of Non-violence* (Delhi: Arnold Heinemann, 1973); S. Radha-krishnan (ed.), *History of Philosophy, Eastern and Western* (London: George Allen and Unwin Ltd., 1952); E. Conze, *Buddhism: Its Essence and Development* (Oxford: Cassirer, 1960 and 1974); A. Schweitzer, *Indian Thought and its Development* (New York: 1936, Bombay: Wilco, 1960); William Theodore de Bary, *et al., Sources of Indian Tradition* (Delhi: Motilal Banarasidas, 1972), 2 vols. Many of the quotations which follow are to be found in Tähtinen's book.

2. Gandhi thought that Tolstoy understood non-violence better than anyone, including the ancient Indian thinkers, and took over his concept of active love. Raghavan Iyer, *The Moral and Political Writings of Mahatma Gandhi* (Oxford: Clarendon Press, 1987), Vol. I, p. 116. To avoid misunderstanding, I am not suggesting that Hindu religious thought does not have the concept of or value love. It is obviously central to Vaishnavism and dominates the Tamil *Tiru-kural*. I am arguing that it is absent in the dominant *advaita* tradition, and that no tradition, including the Vaishnavite, understands love in active and social terms.

3. Iyer, op. cit., Vol. II, p. 225.

4. Ibid., pp. 220 f and 325 f.

5. Ibid., p. 237.

6. Ibid.

7. *Young India*, 11 August 1920.

8. Ibid., 9 September 1925.

9. Iyer, op. cit., Vol. I, p. 117.

10. Ibid., p. 116.

11. Iyer, op. cit., Vol. II, p. 220.

12. Ibid., p. 264.

13. Ibid., p. 214.

14. Ibid., p. 352.

15. Ibid., p. 223.

16. *Young India*, 30 January 1930.

17. Iyer, op. cit., Vol. II, p. 274 and 307.

18. Ibid., pp. 234 ff and 270 ff.

19. Ibid., p. 276.

20. Ibid., pp. 213 ff and 276 f.

21. Ibid., pp. 269 f.

22. Ibid., pp. 270 f.

23. Ibid., p. 272.

24. Ibid., p. 282.

25. Ibid., p. 280; also *Harijan*, 3 July 1937.

26. Iyer, op. at., Vol. II, p. 222.

27. *Harijan*, 1 September 1940.

28. Iyer, op. at.. Vol. II, pp. 221 f.

29. Ibid., p. 387.

30. *Young India*, 29 May 1924.

31. Iyer, op. cit., Vol. Ii, p. 317.

32. *Young India*, 9 September 1926.

33. Iyer, Vol. II, p. 212. For Gandhi not so much the intention as the disposition of the moral agent was crucial to the evaluation of his act. See also M.K. Gandhi, *Nonviolence in Peace and War* (Ahmedabad: Navajivan, 1942), Vol. II, pp. 129 f.

34. 'Violence and non-violence are mental attitudes, they concern the feelings in our hearts', Iyer, op. cit., Vol. II, p. 316.

35. Iyer, op. cit., note 2, Vol. II, p. 316.

36. Ibid., p. 274.

37. *Young India*, 18 May 1921.

38. *Young India*, 14 April 1927; and 17 July 1927.

39. *Harijan*, 9 June 1946; 5 May 1946; and 7 July 1946.

40. Iyer, op. cit., Vol. II, p. 432.

41. Ibid.

42. Ibid., p. 307.

43. Ibid., p. 347.

44. *CW*, Vol. 37, p. 270; *Young India*, 13 September 1928; *Harijan*, 5 May 1946; 9 September 1946; and 10 November 1946.

45. Iyer, op. cit., Vol. II, p. 431; *CW*, Vol. 25, p. 168; and *Harijan*, 23 August 1940.

46. For a detailed discussion see my *Gandhi's Political Philosophy*, ch. 4.

47. Louis Fischer, *The Life of Mahatma Gandhi* (Bombay: Bhartiya Vidya Bhavan, 1983), p. 421.

48. *Harijan*, 9 December 1939; 21 October 1939; 8 September 1940; Iyer, op. cit., Vol II, p. 438.

49. Iyer, op. cit., Vol. II, p. 438.

50. *Young India*, 15 December 1921; 4 August 1920; and 8 May 1941.

51. *Young India*, 16 June 1927; and 11 October 1928. See Iyer, op. cit., Vol. II p. 451, where Gandhi says: 'A coward is less than man. He does not deserve to be a member of a society of men and women.'

THE SUPRA-MORAL IN RELIGIOUS ETHICS: THE CASE OF BUDDHISM

Joel J. Kupperman

ABSTRACT

Characteristically religious ethical systems consist of much more than a morality: that is, much more than judgments marked by serious societal pressure and the appropriateness in offenders of a sense of moral guilt. Religious ethics characteristically demands also control and modification of thoughts and desires. This supra-moral element is prominent in Buddhism, where it flourishes primarily in the *Samgha*. The ethics of Buddhism can be understood only by means of a concept of the supra-moral.

Elsewhere (1971) I have argued that there is a very important characteristic difference between religious ethics and secular ethical systems: one that concerns the very structure of ethical theory. Let me refine this suggestion here. My thesis is that the supra-moral *characteristically* is viewed differently in religious ethics than in secular ethics. I shall explain shortly what is meant by "supra-moral." But first it is important to indicate the implications of the qualifying word "characteristically."

My thesis is not that all religious ethics treats the supra-moral in the way that I shall describe, or that it is never treated in this way within secular ethics. It is rather that usually the supra-moral is present within religious ethics in the manner to be described, and that much less frequently is it present in this way outside of religious ethics. I thus have in mind "family resemblances" in the sense developed by Wittgenstein in *Philosophical Investigations*. A cluster of features identify the supra-moral in religious ethics in a way that is not typical of secular ethics.

In what follows, I first explain what the supra-moral is, and how it fits into ethical theory. This will be followed by an examination of the characteristic presence of the supra-moral in religious ethics. Then I shall illustrate my thesis by discussion of the case of Buddhism.

As P. F. Strawson (1961) has pointed out, at the core of morality are the rules that make human society possible. Certainly it is difficult to imagine anything that we could call a morality that did not, at least in some limited way, contain injunctions against forms of behavior (such as murder) which if widespread would render the existence of society impossible. But whereas secular ethical theories may contain prescriptions that go beyond this core, religious theories generally do so, as I will illustrate below.

The distinction between what is considered a moral matter, and what in ethics lies beyond morality, cannot be drawn entirely in terms of the social need for morality. The distinction instead can be explained by extending the analysis of a concept associated with the ethical philosophy of R. M. Hare. This is the concept of prescriptivity. Hare (1963) elaborated upon and defended a view of ethics that he calls "universal prescriptivism." In Hare's view, part of the meaning of moral judgments is prescriptive in that they typically function as guides to conduct. Not only are moral judgments typically guides to the way others ought to act, but also they are guides to our own conduct.

One way of putting this result is to say that a social and public background pressure (or a latent appeal to such pressure) is associated characteristically with morality in a way that it is not associated with the supra-moral. Another way (another side of the result) is to say that there is a logical connection between societal prescriptives and moral guilt. Moral guilt is not normally associated with the supra-moral. This point will be further clarified in my discussion of Buddhism.

Now to relate these matters to religious ethics. My claim here is as follows. Very often (although not always) secular theories of ethics consist of little besides a morality. That is, usually secular theories of ethics proscribe murder, theft, breaking promises, perhaps certain kinds of sexual conduct, etc.: in short proscribe those kinds of conduct that public society takes seriously as objects of pressure, and as fitting occasions for guilt. In such ethical systems, the rest of life is left free. That is, when you are not

engaged in deciding whether to murder someone, steal, etc. the ethical system will leave you alone: you are free to pursue your own happiness. The importance of this can be seen when one realizes how infrequent for most people conscious moral decisions of this sort are. Opportunities or temptations to murder or steal do not impinge on the consciousness that often for most of us. Indeed, when morality is thus understood, many people may make no more than one or two moral decisions in the average week. An ethical theory which dictates to us only these decisions is both dramatic and comfortable. It is dramatic because it highlights convulsive, brief, and visible efforts of the will. It is comfortable because most of the time it enables us not to worry too much about our life, and indeed usually does not demand too much thoughtfulness. It may not be too cynical to say that most people want ethics to leave them alone most of the time.

Religious ethics typically does not leave people alone most of the time. Usually (although not in every case) a religious ethical system involves an associational life and a sense of community that places as much emphasis on the supra-moral as on the moral. It is not enough that one keep various moral commandments. One also should achieve purity of heart, or love God, or be in harmony with the Tao, or achieve Confucian naturalness. Models and instructions on how this is to be done are an integral part of the religious cultures. These supra-moral demands do not therefore have the same locus of force as moral demands. Public society will not normally be hostile if these demands are not met, nor is moral guilt present when one does not meet them. Nevertheless given the special religious backgrounds, we can understand why great value is attached to meeting the supra-moral demands, in some cases greater value than is involved in being merely morally upright. Ethical systems which feature such demands require of their adherents more continuing attention to the quality of their lives than many people would like to give.

Hare's general account seems to me correct as far as it goes. But he does not adequately consider the possibility that prescriptivity can be a matter of degree. In fact the prescriptive weight of judgments varies from group to group within a society, and some kinds of judgments characteristically have more prescriptive weight than others. The judgment "You should not kill" is prescriptive, as is "You should go to see the Freer Gallery when you are in Washington," but there is an enormous difference between the degrees of

prescriptive weight that these judgments characteristically would have. The difference typically is marked, externally, by the different type of social pressure exerted on someone who kills from that exerted on someone who misses a desirable visit to a gallery. It is marked internally by the moral guilt we normally expect someone to feel who affirms "One should not kill," but who kills. Someone who sincerely affirms the desirability of visiting a gallery, but who misses a visit, normally would feel at most mild regret.

The issues surrounding these distinctions are quite complex, and there is not space to take them up in a single essay. I have sketched the crucial distinction elsewhere (1970:100–101), and deal with it at length in work in progress. Let me here dogmatically just state some results. The most fundamental distinction between the moral and the supra-moral in ethical theory is that moral judgments typically have a heavier public and societal induced prescriptivity than do supra-moral judgments. (I use "societal" here to mean the public domain that is inclusive in most instances of a variety of sub-cultural groups). This does not mean that there cannot be people who take moral judgments very lightly, or that supra-moral judgments cannot be taken very seriously by some people. But if judgments of a certain kind very generally are taken lightly in a society, then we would not readily say that these are moral judgments. If judgments of a certain kind very generally were taken seriously in a society, then we would say that they were taken "moralistically"; and, if they met the formal and public conditions for ethical judgments, we would classify them within morality rather than within the supra-moral.

The supra-moral as defined covers a great deal of ground: it includes all judgments of what ought to be done that characteristically convey a non-public prescrtptivity. Within the supra-moral there is a characteristic area of religious concern. This is the area of desires and thoughts. There appears to be no society in the world in which a person's desires or thoughts, in themselves (apart from action), are judged with the heavy, public prescriptivity characteristic of morality. It is easy to see why this is so. Desires and thoughts need not be overt, so that they are almost as difficult to monitor as they are to control. They also do not, in themselves, overtly threaten society. Thus, since morality is after all an instrument of social control, there is no need to make desires and thoughts in themselves objects

of moral judgment. Having said this, I should add that it is not uncommon for an agent's desires and thoughts to be taken account of in moral judgments of actions. But this is a separate matter, as it does not imply moral judgment of desires and thoughts that are not acted upon.

Nevertheless religions characteristically teach their adherents what their desires and thoughts should be. My contention (to repeat a disclaimer) is not that this is uniformly characteristic of all religions. It is perhaps more deeply woven into the meaning of the New Testament than of the Old Testament (cf. for example *Matthew* 5:21–48). The central injunction of the *Upanishads* is to view one's relation to Brahman correctly, which will involve a loss of desires; Taoism too enjoins a way of thinking that for some may not come easily or naturally; also, as I have argued elsewhere (1968), the central recommendations of Confucianism concern the inner states and attitudes of the Confucian worthy.

The special characteristic of religious ethics can be seen if we take the case of a man who is filled with anger, but who controls his anger and in all crucial matters acts in ways that others would recommend. For Kant, as long as the man's sense of duty regularly triumphed over his hostile inclinations, there would be in ethics sparse room for criticism. For utilitarians, also, if the man's actions regularly were of kinds that had good consequences, and in fact had good consequences, there would be in ethics little room for criticism. But in the ethical theories of most religious traditions there would be a great deal of room for criticism of such a person.

If my general thesis is correct, religious ethics contains characteristically a supra-moral element that is at least as important and interesting as any morality that the religion might sanction and convey. Given my distinction between morality and the supra-moral, one can distinguish analytically these two spheres within most systems of religious ethics. But nowhere can this distinction be drawn more readily and sharply than in the case of Buddhism.

The ideals of Buddhism traditionally have centered on two goals that one can achieve in one's own life and thinking.

One is renunciation. For the Buddhist saint "the fever (of passion) exists not" (Thera, 1954:34). Renunciation is enjoined "to the end that this sorrow may pass away, and that no further sorrow may arise" (Rhys Davids,

1963:49). A cold logic links desire, and what is normally termed pleasure, to all human suffering. As the legends surrounding Buddha's own enlightenment make clear, the painful frustration of desire is part of the human condition; and to be sensitive to pleasure is to be sensitive to deprivation.

The second ideal is often linked to the first. A clarity in one's vision of oneself and the world makes renunciation possible. An awareness of the true nature of what h normally termed one's self is crucial. Most contemporary philosophers appear unaware of the Buddhist implications of Humean analyses of the self, although Derek Parfit (1971) is an exception. Imageless thought is sometimes recommended in conjunction with the dissolution of the apparent self (Suzuki, 1959:45). An analysis of this ideal however is beyond the scope of this paper.

Now the most immediately obvious thing about these supra-moral ideals is that they are very difficult to achieve. It is one thing to acquiesce, intellectually, to the fundamental propositions in which they often are stated. It is another thing to so orient one's being and thinking every moment that no cravings occur, and so that no thoughts are tinged with vestiges of the apparent self. The discipline needed itself requires continual watchfulness. Further, it is not entirely clear how purely the ideal can be achieved. There has not been unanimity in the history of Buddhism on this point, and indeed the major schism originated when Mahadeva charged that Arhats (saintly monks) were having lustful thoughts in their dreams (Conze, 1957:119–120).

It also is clear that failure to realize these supra-moral ideals, even approximately, is not something for which a person normally could be severely blamed. The ideals are removed from what would be considered morality in our society. They also are removed from what corresponds to morality (in terms of prescriptive roles) in the societies in which Buddhism has taken hold.

This is not to say that Buddhist morality is entirely identical to the core morality of the Jewish or Christian tradition. There are predictable similarities, in the prohibition of murder, theft, etc. But, at least at some times, taking of any life (even animal life) has been treated as immoral. This is vividly expressed in the Noh play *Ukai*, about the repentance of a

damned Cormorant Fisherman (Waley, 1954:164–170). Having observed this, I should add two comments. One is that at no time has the prohibition of an activity within a morality entailed its scarcity. Taking of life, both human and animal, was of course very common in medieval Japan. Secondly, the boundaries of morality fluctuate. In our own moral tradition, frivolous behavior on the Sabbath and general laziness at some times were considered morally wrong; nowadays it is unusual for people who disapprove of frivolous behavior on the Sabbath or of general laziness to consider such behavior immoral. Similarly, it is generally not the case nowadays in Buddhist countries that all taking of life is considered immoral.

If it is true that taking of any life at some times has been considered immoral among Buddhists, why has not failure to reach the highest ideals also been considered immoral? The answer is two-fold. Part lies in the relative difficulties of what is required to reach these supra-moral goals. We apply moral censure only when the correct conduct is within the power of most normal people. The Cormorant Fisherman could have changed his occupation. It is not quite that simple to conform one's whole thinking and being to Buddhist ideals. The other part of the answer lies in the interior nature of the ideals. Morality, relying as it does on societal pressure, generally requires that conduct to be censured be visible and readily recognizable.

Traditionally, the line between the moral and the supra-moral requirements of Buddhism has run very roughly parallel to another line. This is the line between those who are willing and able to make a full time effort to achieve salvation, and those who either are not willing or are not able. The former generally will be members of the *Samgha* (which comprises monks, nuns, and hermits): the *Samgha* has been compared in Buddhist literature to an especially fertile field (Horner, 1954:34). As Conze (1957:53) remarks, it "has been a conviction common to all Buddhists at all times" that "the life of a householder is almost incompatible with the higher levels of the spiritual life."

There are clear practical reasons for this. Family and children are, in Shakespeare's phrase, "hostages to fortune:" it is hard not to have cravings for their welfare. The practical concerns of maintaining a household, or

pursuing a career, also will distract one from the fundamental task of revising the nature of one's conscious states.

Thus Buddhism as a religion traditionally has maintained two sets of requirements. One is for members of the *Samgha*; the other is for lay followers. The former requirements include not only the subtle matters of spiritual effort; they include also the basic, not subtle, requirements of poverty and celibacy. There is nothing inherently immoral, from the Buddhist point of view, in being neither poor nor celibate; but members of the *Samgha* should be both (and for a monk to break his rules is perfidious and immoral). Poverty and celibacy are finally in any case means to an end, and the efforts expected of members of the *Samgha* are the pursuit of this end.

The ethical significance of these efforts cannot be grasped without a concept comparable to that of the supra-moral. Buddhism clearly contains a morality. But it recognizes a distinct class of people who are expected to attempt to meet requirements that go beyond morality. The supra-moral character of these requirements is marked by the fact that, while meeting them would be desirable for anyone, they do not apply to everybody in the same way. Buddhism therefore, typical features of which have been used to illustrate the thesis of this paper, recognizes that ethical prescriptives impinge with different force on persons in different social contexts. And this difference in background is of critical importance for interpreting the distinction between the moral and the supra-moral in ethical theory. One might want to argue that attention to the supra-moral by associational groups has a constructive, radiating influence on societal morality. But I shall not take up that matter in this paper.

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EGOISM, ALTRUISM AND INTENTIONALISM IN BUDDHIST ETHICS

One of the interests of comparative studies is the manner in which features mistakenly assumed to be essential are often shown to be merely accidental. Similarly, one of the characteristic features of philosophy is that it often calls into question our complacent presuppositions. Thus comparative philosophy can be doubly illuminating in this way. This paper explores a topic in comparative ethics. It seems that certain familiar oppositions in Western ethical theory (as, for instance, between egoism and altruism, or intentionalism and consequentialism) do not figure in Buddhist ethics.[1] I shall discuss two such examples, arguing that the reason why this is so in these cases is the presence of certain distinctive metaphysical presuppositions. The interest of the discussion is twofold. Firstly, it shows that such oppositions are by no means essential to an ethical system. Secondly, it illustrates the way in which metaphysical and ethical theses so often interpenetrate each other. Finally, I should remark that my discussion is supposed to be a general account of these aspects of Buddhist ethics. However, I do usually have the Theravādin tradition in mind first, and then try to extend my claims, *mutatis mutandis*, to cover the Mahāyāna tradition as well.

I

The first supposed ethical opposition is that between egoism and altruism. My thesis is that this opposition does not figure in Buddhist ethics because the Buddhist account of the self defuses the whole question. In other words, I claim that the Buddhist contribution to a familiar problem in metaphysics yields an answer to a familiar problem in ethics. Let me first of all specify more clearly just what these two problems are. Thus, on the one hand, we have the ethical issue of egoism and altruism. The problem is perhaps best captured in the egoist's question, "Why should I act contrary to my own self-interest?" Adducing *moral* reasons here will not satisfy the egoist since only self-interest is going to be admitted as a rational motive for action. Hence the egoist will be willing to further others' interests only insofar as he will thereby further his own interests. This, he insists, is the rational policy for any agent. Crucial to the strength of his position here is the presumption that the policy of the prudential egoist is self-evidently rational. That is, that we need to be given an argument for why we should sometimes rationally act contrary to our own self-interest, but no such argument is needed for the assumption that it is rational to act in our own self-interest.

The metaphysical question, on the other hand, is the problem of the nature of the self (perhaps most familiarly generated by the query, "What makes a person the same person he was yesterday despite a change in properties?"). There are basically two views on the nature of the self: the simple view and the complex view.[2] According to the simple view the self is a metaphysical simple: a substance, or at least a concrete particular. (Hence on this view the answer to the identity question about persons is that sameness of self guarantees sameness of persons through change of properties.) According to the complex view, however, the self is not a uniform substance that persists through time, but rather a cluster of past, present and future "selves" linked together by ties of various degrees: a process rather than a thing.

What is the Buddhist position on these two issues? With regard to the metaphysical question about the nature of the self the answer is pretty clear. Although the precise interpretation of its meaning is still controversial, the "no-self" (*anātman*) doctrine in Buddhism apparently insists upon a denial

of a substantialist view of the self. Not only was the doctrine of "no-self" considered constitutive of Indian Buddhism by Hindu and Jain philosophers, but the crucial importance of the doctrine is frequently insisted upon in Buddhist texts. A good example is to be found at the beginning of the ninth chapter of Vasubandhu's *Abhidharmakośa*:

Is there, indeed, no other Salvation than (within the pale of Buddhism)?

No, there is none! — Why? — Because (all other doctrines) hold to the erroneous view of the real existence of a Soul [*ātman*]. The term "Soul" is not regarded by them as a conventional term applied to what is only a flux of elements [*skandhasaṃtāna*].

They maintain instead that the Soul is a Reality quite independent from (the elements). This idea of a Self is at the root of every evil passion (and through its action Salvation becomes impossible).[3]

This passage is significant not only because it clearly aligns the Buddhist view of the self with the complex view, but also because it insists upon the ethico-religious significance of the complex view of the self. This in turn relates the Buddhist view of the nature of the self to the problem of egoism and altruism. For, as Steven Collins remarks in his important recent study of the "no-self" doctrine in Theravada Buddhism,

… the rationale for action which acceptance of Buddhism furnishes provides neither for simple self-interest nor for self-denying altruism. The attitude to all 'individualities', whether past and future 'selves', past, future, or contemporary 'others' is the same — loving-kindness, compassion, sympathetic joy, and equanimity… Buddhism conceives as part of [the qualitative notion of personal identity] a version of rational action which includes necessarily the dimension of altruism.[4]

And this is true of both Theravāda and Mahāyāna Buddhism.

What I want to do is to try to show the logical connections between the Buddhist account of the self and the Buddhist conception of the rationality of non-egoistic action. More particularly, I want to argue that while the simple view of the self supports the egoistic presumption, the competing complex view of the self undermines the egoist's assumption that his view is self-evidently rational.

Firstly, then, the Buddhist view of the self. Clearly Buddhism opposes the simple view of the self in favour of the complex view. As already noted, the self is not held to be a uniform substance that persists through time, but a cluster of past, present and future "selves" connected to each other by ties of various degrees. The force of terming this the "no-self" view is to attempt to forestall any tendency to reify a process and make it into a thing, a substantial Self. One popular Buddhist way to expedite this is to abandon

an ontology of concrete particulars in favour of an event ontology. Thus reality is analysed into a series of momentary events, each of which is causally efficient (the doctrine of *kṣaṇikavāda*).[5] The self is not, then, a *thing*, but a *process*. And such a process is properly analysed as built up out of point-instants, in the way in which movement in the cinema is built out of a series of stills. Moreover, because of the infinite divisibility of time and space, this process will really be composed of an infinite series of momentary "selves" or person-slices. The self, then, is really a logical construction out of a set of point-instants or time-slices. (The technique is familiar from calculus where a process of motion is analysed as an infinite number of instants.) It might be thought that such momentary "selves" or temporal slices, being of (almost) no temporal "thickness", do not admit of identification and hence cannot be properly individuated. But this is not the case. Any temporal slice has distinct dispositional properties and causal relations unite these time-slice "selves" into distinct "streams" (*saṃtāna*). The unreflective, however, erroneously view these streams as substantial individuals.

What is the relevance of this metaphysical account to the ethical problem of egoism and altruism? Basically that it undermines the plausibility of the egoistic principle. Now the egoistic principle admits of both strong and weak formulations. A strong version would be to the effect that it is only reasonable to act in our own self-interest and to be concerned just with what happens to ourselves in the future. A weak version would be to the effect that it is somehow especially rational to act in our own self-interest and to be primarily concerned with just what happens to ourselves in the future. An advocate of the complex view of the self can challenge the assumption that even the weak version of the egoistic principle is self-evidently rational.

Suppose we ask the egoist the question, "Which self is it whose interests it is self-evidently rational to serve?" On the simple view of the self the answer seems obvious: "Mine (i.e. the speaker's)." But on the complex view of the self the answer is by no means so simple, as Henry Sidgwick observed in the nineteenth century:

I do not see why the axiom of Prudence should not be questioned, when it conflicts with present inclination, on a ground similar to that on which Egoists refuse to admit the axiom of Rational Benevolence. If the Utilitarian has to answer the question, "Why should I sacrifice my own happiness for the greater happiness of another?" it must surely be admissible to ask the Egoist, "Why should I

sacrifice a present pleasure for a greater one in the future? Why should I concern myself about my own future feelings any more than about the feelings of other persons?".... Grant that the Ego is merely a system of coherent phenomena, that the permanent identical "I" is not a fact but a fiction ...; why, then, should one part of the series of feelings into which the Ego is resolved be concerned with another part of the same series, any more than with any other series?[6]

In other words, given the truth of the Buddhist view of the person as a stream of causally connected past, present and future "selves", then what reason does my present (egoistic) self have for promoting the interests of any of my future selves? True, the Buddhist analysis of a person as a series of causally related selves stretching over time implies that my future selves will be causally linked to my present self in a way that the future selves of others will not be. However, in the first place, some of my distant future selves will be much less closely related to my present self than my immediately succeeding future selves will be. So why should I (as a prudential egoist) consider the interests of my distant future selves as meriting consideration over the interests of my immediately succeeding future selves, as indeed it seems I so often do on prudential grounds? Secondly, why should this causal link matter anyway? Why does the fact that my future selves are part of a causal series of selves of which my present self is a member provide any reason for my present self to be concerned with other members of this series, any more than the members of any other series?

Hence it seems that a certain minimal altruism is required for prudential egoistic action; the promotion of the interests of my future selves is a minimally altruistic act (especially when such interests clash with my present desires). Can the Buddhist, however, press the egoist even further on this point? Perhaps he can. Recall that it is crucial for the egoistic presumption that self-interested action is self-evidently rational, that the egoist's position is the prudential position. The prudential egoist, then, pursues that policy which maximizes his own self-interest. Suppose, however, that we combine a prudential commitment to self-interest with the Buddhist view of the self. In the first place, there now arises an epistemic difficulty that is of importance for the egoist. For how can I at any given time distinguish *my* future selves (and hence their interests) from other future selves? Metaphysically, of course, there is a causal link that distinguishes my future selves from other selves; but epistemically most agents cannot know which selves are causally connected in the appropriate

manner with their present selves. (True, on some accounts omniscient Buddhas are an exception to this general rule; but obviously this concession does not weaken the force of this epistemic consideration for most agents.) Secondly, even if I could know which future selves will be my descendant selves, I still would have no clear view of which of my descendant selves I should be concerned with, given that the preferences and interests of various of these descendant selves will frequently be in conflict. Now let us combine these two considerations with a commitment to the prudential egoistic principle that the rational policy is for me to act so as to maximize the expected interests of my descendant selves. This combination then implies not only a policy of impartiality towards the interests of all of my descendant selves, but (given the epistemic uncertainty) a prudential policy of impartiality of treatment of *all* future selves. Thus the egoist is committed on prudential grounds to a policy of consideration of others' interests which is behaviourally indistinguishable from altruism *simpliciter*, even though this policy is egoistically motivated!

Of course, the egoist may well shrink from this consequence and seek instead to retreat to a minimal altruism that only commits him to a policy of weighting the interests of other selves relative to their closeness to his present self. This is somewhat like the common-sense attitude (prevalent at least in the West) that Broad has called "self-referential altruism".[7] Self-referential altruism is neither purely egoistic nor purely altruistic. Rather, it admits the rationality (and even the obligatoriness) of a concern for the interests of others, but for others that have some special connection with oneself (relatives, friends, colleagues etc.). As Broad puts it:

Each person may be regarded as a centre of a number of concentric circles. The persons and the groups to whom he has the most urgent obligations may be regarded as forming the innermost circle. Then comes a circle of persons and groups to whom his obligations are moderately urgent. Finally there is the outermost circle of persons (and animals) to whom he has only the obligation of "common humanity".[8]

On this common-sense view, then, the rationality of concern for (and obligation to) other selves is a function of their "distance" from oneself (or one's present self). A self's distance from my present self is in turn, I suggest, a function of its overall similarity to my present self. (This accords well with the general Buddhist tendency to analyse dependence relations, including causal relations, as cases of similarity.) An analogy with possible world metaphysics is useful here.[9] Suppose we conceive of other possible

worlds as radiating in various directions from the actual world at a particular time. Now those worlds closest to the actual world constitute its immediate neighbours, distance from the actual world being a function of overall similarity to it. To measure X's distance from Y in the actual world W is to measure how far X has to go in possibility space before it is indistinguishable from Y in W.

Now the prudential egoist who retreats to self-referential altruism in the face of our earlier argument has done more than merely give up an extreme version of egoism. Rather he has undermined the very foundations of prudential egoism. For if distance from my present self is the significant feature, then this has two important consequences. Firstly, this position runs counter to our normal conception of prudence, for it is surely often prudential for me to consider the interests of my distant (and dissimilar) descendant selves over the interests of my closer (and more similar) descendant selves. For example, having adopted self-referential altruism we can no longer have a *prudential* (as opposed to a *moral*) case for allowing the pleasure that smoking tobacco causes for my present and immediately succeeding selves to be outweighed by a future disvalue (a painful terminal cancer) suffered by my distant (and less similar) descendant selves. But if self-referential altruism thus sometimes commits us to acting imprudently then the egoist, by retreating to such a position, has lost the possibility of appealing to the self-evident irrationality of sometimes acting contrary to our self-interest (i.e. imprudently).

Secondly, if we adopt the model above and hold rational concern to be a function of distance from my present self, then this obviously implies the rationality of a concern for those close to oneself who are nonetheless distinct from oneself. Other selves, then, may be "closer" to my present self than certain of my descendant or ancestral selves. Self-referential altruism thus implies the rationality of a concern with the interests of others, even to the extent of sometimes favouring the interests of other selves over the interests of future selves.

The Buddhist view of the self, then, presents the prudential egoist with a dilemma. On the one hand, a consistent prudential egoist is committed on prudential grounds to a policy of impartial consideration of the interests of all selves. That is, a policy behaviourally indistinguishable from altruism *simpliciter*, even though this policy is egoistically motivated. On the other

hand, if the egoist retreats to a minimal altruism which only commits him to weighting the interests of other selves relative to their closeness to his present self, then (i) he now has to concede the rationality of non-prudential action; and (ii) he has to admit the rationality of sometimes favouring the interests of other selves over the interests of his own future selves. Either way, he is committed to the rationality of a policy that considers the interests of others as sometimes justifiably overriding his own interests.

The Buddhist tradition has always considered the "no-self" view as having enormous ethico-religious significance. A false view of the self is held to be one of the causes of bondage to suffering; a correct view of the self can liberate us from this bondage. Insofar as egoism represents a threat to the rationality of morality, and insofar as the egoistic presumption is made plausible by a particular metaphysical conception of the self, then it is clear that the Buddhist view of the self challenges the rationality of the egoistic presumption and provides for a version of rational action that necessarily includes some dimension of altruism. There may be other ways of undermining the egoistic presumption, but this use of a particular metaphysical view of the self to do so is distinctively (though not uniquely) Buddhist.

II

The second opposition I want to discuss is that between intentionalism and consequentialism. Intentionalism is the view that the moral value of an action is a function of the nature of the agent's intentions; consequentialism is the view that the moral value of an action is a function of its consequences. (In Western ethics Kant's moral philosophy, with its crucial emphasis on the deontological purity of the agent's will, is a familiar example of an intentionalist position; utilitarianism is a familiar example of a consequentialist position.) How are we to classify Buddhist ethics in this respect?

At first blush Buddhist ethics seems strongly intentionalist.[10] In the first place Buddhism's distinctive contribution to the ethicization of the doctrine of *karma* was to make the crucial act a mental one, a "volition" or "intention" (Pāh *cetanā*). It is the presence of this intentional factor, rather than the external act alone, that is held to be the karmically significant force. Thus the often quoted words of the Buddha as recorded in the *Aṅguttara Nikāya*:

O monks, it is volition [or intention, *cetanā*] that I call karma. Having willed. One acts through body, speech, and thought.[11]

Secondly, in the Theravādin legalistic tradition embodied in the *Vinayapiṭaka* it is clear that the moral assessment of actions requires assessment of the condition of the agent. Unfortunately the Pāli *Vinayapiṭaka* does not explicitly discuss the principles involved here. This is because Buddhist law is traditionally casuistic.[12] Rather than enunciate general principles from which particular judgements can be derived, it prefers extensive listing of individual cases and the Buddha's judgements thereon. However, certain principles are implicit in such individual case judgements. For instance, the agent's intention to commit a forbidden act seems at least a *necessary* condition for moral responsibility. This is well brought out in relation to the precept concerning sexual restraint by the following interesting case from the *Suttavibhaṅga*:

Now at that time a certain monk was lying down, having gone into the Great Wood at Vesāli for the day-sojourn. A certain woman, sat down on him, and having taken her pleasure, stood laughing near by. The monk, waking up, spoke thus to this woman: "Have you done this?" "Yes, I have," she said.

On account of this he was remorseful…. "Monk, did you consent?" "I did not know, lord," he said. "Monk, there is no offence as you did not know."[13]

However, although intentionality is thus crucial for the assignment of responsibility, Theravādin thought does allow consequences to play some role in grading the moral severity of various intentional actions. Hence we find the *Suttavibhaṅga* juxtaposing three similar cases where a monk gets meat stuck in his throat and is struck on the neck by a fellow monk.[14] In the first case the striker kills the monk inadvertently. In the second case the striker intends to kill the monk and does so by striking him on the neck. In the third case the striker intends to kill the monk but fails to do so, though he strikes him. The first case is ruled to be no offence; the second to be an offence involving "defeat" (*pārājika*), i.e. expulsion from the order of monks; the third case is ruled to be a grave offence, but not one involving defeat. Thus an unsuccessful attempt at an intentional killing is to be viewed less severely than a successful intentional killing. The latter fulfils the traditional conditions for the gravest sort of violation against the precept to avoid taking life. That is:

(1) It must be a living being [that is destroyed]; (2) it must be known [by the killer] that it is a living being; (3) there must be a desire or an intention (*cetanā*) to kill that living being; (4) an endeavour must be made to kill that living being: and (5) that living being must be killed through the efforts made [by the would-be killer]. A person who commits an act of killing, fulfilling all the above conditions, may be said to be guilty of killing,[15]

Whether or not death actually results from an intended act of killing affects the moral gravity of the offence. In this sense Theravādin ethics (at least in the *Vinayapiṭaka*) is not *purely* intentionalist.

Further light can be thrown on this question of intentionalism if we consider the case of dreams. Dream actions can create a special difficulty for a strong intentionalist in ethics. Hence Augustine, for instance, was forced to the position that consenting to (say) an act of fornication in a dream was morally blameworthy.[16] Of course, intentionalism alone does not generate this position. However, so far as the intentionalist component is concerned all that is required is the weak (and surely plausible) principle that it is sufficient for one's having done wrong that one consent to do something wrong. This principle coupled with two other doctrines Augustine subscribes to together yield his position on dream misdeeds. The

two other relevant doctrines are: (i) that dreams are experiences; and (ii) that "ought" does not always imply "can".

Naturally both of these doctrines are disputable. Thus some recent philosophers have denied that dreams are really experiences.[17] But even if they are right the problem still remains, for then the concern we might feel for what we do in dreams should be supplanted by a concern for our propensities to construct immoral dream narratives.[18] As for the second doctrine, Augustine's denial of the "ought" implies "can" principle is entailed by his anti-Pelagianism. However, scepticism about the universal applicability of the principle that "ought" implies "can" may be entirely independent of any theological position.[19] Moreover, Augustine also reports that sometimes he *is* able to refrain from consenting to misdeeds in his dreams (as indeed some of us feel of our own dream actions).

Given the strongly intentionalist tenor of Buddhist ethics, what is the Buddhist position on dream misdeeds? One case that particularly worried Augustine is explicitly discussed in the Theravādin *Vinayapiṭaka*, i.e. the case of wet dreams. The ruling is that for monks "intentional emission of semen *except during a dream* is an offence requiring a formal meeting of the Order."[20] Similarly the *Prātimokṣasūtra* of the Sarvāstivādin school forbids a monk "intentionally to emit his semen, *except in a dream*."[21] Why dream emissions are excepted in this way is not specified. But not all Buddhist schools are willing completely to exonerate dream actions. Alexandra David-Neel reports the views of the dGe lugs pa school of Tibetan Mahāyāna Buddhism (as embodied in Tsong kha pa's *Lam rim chen mo*) to be rather different.[22]

Continuing the traditional Buddhist stress on the value of mindfulness, Tsong kha pa considers it extremely important to keep control of oneself during sleep. Firstly, disorderly mental activity in dreams wastes potentially useful energy. Secondly, since dream actions can "manufacture evil", it is particularly needful to take measures to avoid this. Thus dream actions are apparently morally comparable with waking actions. This is, of course, the sort of view we should expect from a strongly intentionalist ethic: dream acts, though unreal from the waking standpoint, are very real as volitions or intentions and involve all the moral consequences attached to the latter. However, it is significant to note the actual rationale for this view which

David-Neel attributes to Tsong kha pa and other Buddhist masters of his persuasion:

According to them, the most serious consequences of thoughts or actions are not those which are visible and external, but the modifications of a psychic order which they produce in the individual responsible for them. The will to accomplish an act, even if it is not afterwards consummated, creates, in him who has had the will or desire, affinities and tendencies which bring about a change in his character.[23]

In other words, intentions as expressed in dream actions create dispositions to repeat similar actions, both in dreams and in waking life. Such intentions or volitions modify the character of the individual. Indeed, for Tsong kha pa (as for Freud) our real characters are most revealingly displayed in dreams, where we are no longer fettered by the constraints of social life. (There is a certain interesting parallel here with the teachings of the *Bhagavadgītā*. According to at least one tradition of *Gītā* exegesis, every action has two consequences: (i) its direct result (*phala*), the pleasure or pain following from it according to the *karma* theory; and (ii) the tendency (*saṃskāra*) it establishes in the agent to repeat the same type of action in the future.[24] While we cannot prevent the *phala* of an action from eventuating, we can eliminate the formation of the *saṃskāra* through the practice of the *yoga* of disinterested action.)

What is even more interesting, however, is that the rationale offered amounts to a *consequentiatist* argument for avoiding dream misdeeds. They are said to modify the character and create karmic dispositions to perform such misdeeds in waking life as well as in dreams. And the performance of such deeds will in turn bind the agent yet more strongly to the sufferings of *saṃsāra*. Thus while Buddhist ethics *is* strongly intentionalist, it is also strongly consequentialist. This combination is made possible by the metaphysical presupposition of the doctrine of *karma*. It is a combination unusual in Western ethics, where this metaphysical doctrine is not commonly espoused. Kant's intentionalism, for example, has as its corollary a complete opposition between *prudential* action and *moral* action, the latter being action performed by an agent possessed of a will unsullied by any considerations of self-interest. We have already seen how the Buddhist metaphysical account of the self undermines the opposition between egoistic prudential action and altruistic action. Similarly, the metaphysical doctrine of *karma* undermines the opposition between prudential action and moral action, as well as the opposition between intentionalism and

consequentialism. And this seems quite generally true of Buddhist ethics. Hence Gombrich justly remarks of the Theravādin tradition:

For Kant and his followers there is thus a fundamental opposition between prudence and true morality. To the Buddhist, however … this is a sheer nonsense. Buddhist doctrine agrees with Kant that what counts is intention, not effect… *Karma* is nothing more or less than intention (*cētanāiva*). But by the law of *karma* every intention good or bad will eventually be rewarded or punished, so prudence and true morality must necessarily coincide.[25]

III

To conclude then. Certain familiar oppositions in Western ethics just do not apply to Buddhist ethics. Two examples are the supposed oppositions between egoism and altruism, and between intentionalism and consequentialism. The reason for this phenomenon in these two cases is the presence of certain distinctive metaphysical presuppositions. The relevant metaphysical doctrines here are (i) a particular analysis of the nature of the self; and (ii) a commitment to the doctrine of *karma*, which in turn implies that all intentions have moral consequences. At least two lessons can be drawn from all this. The first is a simple point of the sort often derived from comparative studies: viz. that features of ethical systems most familiar to us need not be essential features of all ethical systems. The second has to do with the close relations that obtain between metaphysics and ethics.

These latter relations, however, can run both ways. On the one hand, it is reasonable to see much of Buddhist ethico-religious practice as generated by its metaphysics (and the two examples I have discussed seem to support this). Hence Whitehead's remark that Buddhism is "the most colossal example in history of applied metaphysics."[26] On the other hand, it is also arguable that much of Buddhist metaphysics is generated by its ethical positions. This is particularly plausible if we construe "ethics" to include not just morality, but value theory more generally.[27] Now it is well known that Buddhist philosophy displays a tendency to substitute epistemological questions for ontological ones when this can be done. But Buddhism is also strongly pragmatic in epistemological matters. The Buddhist logicians of the school of Dignāga, for example, define "knowledge" and "truth" in terms of successful human action. What counts as successful action is in turn determined by basic value commitments: ultimately, successful action must be that action which leads to the highest good, i.e. *nirvāṇa*.[28] Hence questions of Buddhist ontology, for instance, may in the end be determined by value judgements about the *usefulness* of certain conceptual schemes. In this sense Buddhist ethics (more widely conceived) might just as plausibly be said to generate Buddhist metaphysics as the other way around. These sorts of questions about Buddhist philosophy, however, require a separate discussion in themselves.

NOTES

[1] Perhaps still the best attempt at a succinct overview of the whole of Buddhist ethics is Anesaki (1912). Two valuable studies based on Pāli sources are Saddhatissa (1970) and Tachibana (1926). See also King (1964); Wijesekara (1971); Jayatilleke (1974), Chs. 14–15; Little and Twiss (1978), Ch. 8.

[2] Cf. Parfit (1973). See also Parfit (1984) which extensively explores the ethical consequences of the complex view.

[3] Stcherbatsky (1970), pp. 11–12. Compare also Vallée Poussin (1926), p. 230.

[4] Collins (1982), pp. 193–194.

[5] The doctrine of momentariness (*kṣaṇikavāda*) was affirmed in Indian Buddhism by the Sarvāstivādins, the Sautrāntikas and the Theravādins, although they differed as to the exact duration of an event. The Madhyamaka school, however, rejected the theory.

[6] Sidgwick (1907), pp. 418–419.

[7] Broad (1942), p. 51.

[8] *Ibid*, p. 55.

[9] Cf. Zemach(1978),p. 157.

[10] Thus Chapter 6 of Gombrich (1971) is entitled 'The Ethic of Intention'. However, Gombrich points out that the pure canonical views on the supremacy of intention are frequently compromised by Buddhist practice in Sri Lanka.

[11] *Aṅguttara Nikāya* 3: 295 as cited in Holt (1981), p. 75. The Pāli given there is: *cetanāhaṃ bhikkhave kammaṃ vadāmi; cetayitvā kammaṃ karoti kāyena vācāya manasā*. See also King (1964), pp. 120–129.

[12] On the *Vinaya* as a system of religious law see Holt (1981) and, especially, Voyce (1982).

[13] Horner (1938), p. 59. On pp. 59–63 a number of similar cases are cited. (I owe the reference to the first case to Little and Twiss (1978), p. 225.)

[14] *Ibid*, pp. 139–140. See also Little and Twiss (1978), pp. 223–224.

[15] King (1964), p. 120.

[16] On Augustine's views and the general philosophical problem they illustrate see Matthews (1981) and Mann (1983).

[17] See Malcolm (1959) and the essays by Malcolm and Dennett in Dunlop (1977).

[18] Cf. Mann (1983), pp. 381–384.

[19] *Ibid*., pp. 379–380.

[20] Horner (1938), p. 196. (My emphasis.) See also p. 198.

[21] Conze(1959), p. 74. (My emphasis.)

[22] David-Neel (1939), pp. 74–78.

[23] *Ibid*., p. 76.

[24] Cf. Hiriyanna (1932), pp. 129–130.

[25] Gombrich (1971), p. 246.

[26] Whitehead (1930), p. 39.

[27] Cf. Moore (1903), p. 2: "I am using ['ethics'] to cover an enquiry for which, at all events, there is no other word: the general enquiry into what is good."

[28] Potter (1984) argues that this is quite generally true of Indian epistemology.

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Indian Aesthetics—1

I T HAS BECOME somewhat of a commonplace in these days to speak of the ancient Hindus as having achieved distinction in philosophy. But the word 'philosophy' is so loosely used and the phases of philosophic investigation are so many and so varied in character that such an opinion, standing by itself, cannot be taken to indicate anything beyond a certain aptitude of the Hindu mind for abstract speculation. A signal illustration of the indefiniteness of this opinion is furnished by Max Müller, the very scholar that was largely responsible for giving currency to the view that the ancient Hindus were highly gifted philosophically; for while he at one time described them as 'a nation of philosophers', yet, at another time, gave out as his considered opinion that 'the idea of the beautiful in Nature did not exist in the Hindu mind.'[1] The fact is that a vague and general statement like the above is of little practical value unless it is supported by evidence of progress made in the various departments of philosophic study, such as logic, psychology and metaphysics. Here is a vast field for the student of Indian antiquities to labour in and the harvest, if well garnered, will be of advantage not only for the history of Indian thought but also, it may be hoped, for Universal Philosophy. The object of the present paper is to indicate, however slightly it may be, the nature of the advance made by the Indians in one bye-path of philosophy, *viz*., aesthetics or the inquiry into the character of beauty in Nature as well as in art.

The most noticeable feature of Indian philosophy is the stress which it lays upon the influence which knowledge ought to have on life. None of the systems that developed in the course of centuries in India stopped short at the discovery of truth; but each followed it up by an inquiry as to how the discovered truth could be best applied to the practical problems of life. The ultimate goal of philosophic quest was not knowledge (*tattvajñāna*) so much as the achievement of true freedom (*mokṣa*). Indian philosophy was thus more than a way of thought; it was a way of life; and whoever entered upon its study was expected to aim at more than an intellectual assimilation

of its truths and try to bring his everyday life into conformity with them. Consistently with this pragmatic aim, ethics occupies a very important place in Indian philosophy. Like ethics, aesthetics is dependent upon philosophy and like ethics, it aims chiefly at influencing life. When such is the kinship between ethics and aesthetics, is it probable that a people who devoted so much attention to one of them, altogether neglected the other? Is it conceivable that they who showed special power in the grasp of the good did not even stumble upon the kindred conception of the beautiful? We are not however left to such vague surmises; for, not infrequently we find in Sanskrit philosophical works[2] parallels drawn from art which imply that the close relation of the beautiful to the good and the true was not all unknown to ancient India. We have even more direct evidence in the numerous works in Sanskrit on poetics which, though their set purpose is only to elucidate the principles exemplified in poetry and the drama, yet furnish adequate data for constructing a theory of fine art in general. A consideration of the teachings of these works shows us that Indian aesthetics had its own history; and the process of its evolution, as may well be expected, followed closely that of general philosophy.

It is well known that the earliest philosophy of India consisted in the explanation of the universe by means of a number of supernatural powers called *devas*, 'the shining ones', or 'gods'. This pluralistic explanation however soon appeared inadequate to the growing philosophic consciousness of the Indian; and a quest began thereafter whose aim was to discover the unity underlying the diversity of the world. The history of this quest is very long and can be traced from the *Mantras*, through the *Brāhmaṇas*, down to the period of the *Upaniṣads*. Various principles were in turn regarded as representing this ultimate reality—some concrete, others abstract—and although each solution was in turn given up as unsatisfactory, the search itself was not abandoned until an abiding conclusion was reached in what is known as 'the *ātman* doctrine' of the *Upaniṣads*. The central point of this doctrine is that whatever is, is one; and that its essence is manifested more clearly in the inner self of man than in the outer world. This doctrine brought about a total revolution in the point of view from which speculation had proceeded till then; for the ultimate reality was no longer regarded as something external but as fundamentally identical with man's own self. The enunciation of the absolute kinship of Nature with Man marks the most important advance in the whole history of Indian thought. I

am not, however, for the moment, concerned with this philosophic solution in general, reached in the Upaniṣadic period. I am interested only in emphasising one aspect of it, *viz.*, that what we commonly regard as real is not in itself the ultimate reality but only a semblance of it. The world of sense, equally with the world of thought, is but an appearance of the ultimate truth—an imperfect expression of it but yet adequate, if rightly approached, to point to the underlying unity. Neither our senses nor our mind can grasp this unity, but so much of it as they can grasp is sufficient to find out its true meaning and realise it within ourselves.

There is a second aspect of Indian philosophy to which it is necessary to draw attention before speaking of Indian art. The earliest philosophy of India had a supernatural basis. Although the objects of early Aryan worship were in reality only powers of Nature, there were supposed to be working behind them supernatural beings. So long as this belief continued, the ambition of the Indian in this life was to secure the favour of those beings with a view to attain companionship with them hereafter. This eschatological view changed with the change of belief in the gods, but yet for long afterwards there lingered the view that the highest good that man could attain was attainable only after death. With an ideal like this, man naturally looked upon the present life as merely a passage to another and a better one. He lived mainly for the coming world, disregarding, if not altogether discarding,, the realties of this life. Asceticism was the natural outcome of it. In course of time this ideal of practical life also underwent a change, not less important than the change on the speculative side to which I have already referred and it came to be believed that the highest ideal that man could attain was attainable on this side of death, here and now. The full development of this view belongs to the period that followed the composition of the classical *Upaniṣads* but its source can be traced earlier in those Upaniṣadic passages which refer to *jīvanmukti*.[3] *Jīvanmukti*, to speak from the purely philosophic standpoint, marks the highest conception of freedom. It is One of the points where Indian philosophy emerges clearly from Indian religion; for, the goal of existence according to this conception is not the attainment of a hypothetical bliss *hereafter* but the finding of true freedom on this bank and shoal of time. It is difficult to exaggerate the importance of this change. It transformed the whole outlook of the Indian upon life and remoulded his ethical ideal. The ideal, not doubt, was yet as far as ever from the average man; but what once was more or less a matter

of pure speculation had been brought within the possibility of positive experience. The aim of life was no longer conceived as something to be sought for beyond this world, but to be realised *here*, and if one so willed, *now*. The new ideal was the achievement of a life of harmony, not through the extinguishment of interests but by an expansion of them—not through repressing natural impulses but by purifying and refining them. It was a mode of living characterised by passionless purity and an equal love for all, such for instance as is described in glowing terms more than once in the *Bhagavadgītā*.[4] For the realisation of this ideal, the training of the feelings was a necessary preliminary and in consequence, the first aim of life came to be looked upon not so much the cultivation of the intellect or the development of the will, as the culture of the emotions.

In these two characteristic features of early Indian philosophy, it seems to me, we have the main influences which moulded the theory of art as it is disclosed to us in Sanskrit works on poetics. We do not know when this class of works began to appear. Tradition is at one[5] in counting Bhāmaha among the earliest writers on poetics; but in him we see the subject has already assumed a definite shape. His name, along with those of some others like Udbhaṭa Rudraṭa, Daṇḍin and Vāmana is associated with a distinctive canon of poetry. There are indeed differences in matters of detail among these writers. For instance, there is no clear distinction recognised between *guṇas* and *alaṁkāras* by some,[6] while others give the one or the other of these the first place in judging the worth of a poem.[7] It is not necessary to enter into these details here; for all these writers, in spite of minor differences, exhibit cognate ways of thinking. We may therefore regard them as, on the whole, representing the first stage in the growth of poetic criticism. In the writers of this *prācīna* school we find the subject of poetry dealt with under three heads—*doṣas*, *guṇas*, and *alaṁkaras*. The last, *alaṁkāras*, may be left out of consideration here; for, in the first place, they are not recognised by all to be essential, and in the second, they almost exclusively relate to imaginative literature and have no proper place in any general theory of art. Some of the conditions laid down under the remaining two heads are intended only to secure logical or grammatical requirements such as coherence of thought and correctness of language. Even the others as we shall presently see, rarely allude to the central essence of poetry. Where they do involve a reference to this essence, its importance is

misjudged and only a subordinate place is assigned to it.[8] The attention of this school is practically confined to the outward expression of poetry, *viz., śabda* (word) and *artha* (sense). Certain forms of these are regarded as *doṣas* and certain others as *guṇas*; and it is held that what confers excellence on poetry is the absence of the one and the presence of the other.

There is another school known as the later or *navīna* school of critics, the theory advanced by whom is far different. As in the case of the earlier school, this also seems to have had more than one branch. We shall here consider the most important of them as represented by the *Dhvanyāloka*. Apparently it is the oldest work of the kind extant; but this very work contains evidence of the fact that the point of view which it adopts in judging poetry had been more or less well known for a long time before.[9] This work starts by distinguishing between two kinds of meaning—the explicit and the implicit—and attempts to estimate the worth of a poem by reference to the latter rather than to the former.[10] The explicit meaning, no less than the words in which it is clothed, constitutes, according to this view, the mere vesture of poetry.[11] They together are its outward embodiment—the necessary conditions under which a poetic mood manifests itself. These external and accidental features alone appealed to the earlier school. But the critic of the new school concentrated his attention on the implicit meaning which forms the real essence of poetry. From this new standpoint things like *doṣas* or *guṇas*, in settling the nature of which there was once so much controversy, are easily explained. It is as though we are now in possession of the right key to the understanding of all poetry. Whatever in sound or sense subserves the poetic end in view is a *guṇa*; whatever does not, is a *doṣa*.[12] *Doṣas* and *guṇas* are relative in character. There is no absolute standard of valuation for them. They are to be judged only in reference to the inner meaning which constitutes the truly poetical. The artist never really feels concerned about them; for, a thought or feeling experienced with poetic intensity is sure to find expression. The expression is also likely to be more or less imperfect, but the question is not whether it is perfect, but whether it is adequate to convey the thought or emotion to others. If it is adequate it is good poetry, otherwise it is not.

The implicit meaning is threefold and the poet may aim at communicating a fact (*vastu*) or transferring an imaginative (*alaṁkāra*) or an emotional mood (*rasa*). The first is obviously the least poetic and

whatever artistic character it may possess is entirely due to treatment and not to subject. We may, therefore consider here only the remaining two, which have their bases respectively in imagination and feeling. True art is no doubt a compound of feeling and imagination but in any particular case the one or the other may predominate and the twofold classification should be regarded as having reference to the predominant factor. In this view art represents the almost spontaneous expression of a responsive mind when it comes under the spell of an imaginative or an emotional mood. It was this expression—the outward element of poetry and not its inner springs which the older school of critics analysed.[13] The later school, as we have already seen, occupied itself with what this expression signifies. The expression was important to them only as a means of suggesting or pointing to the implicit significance. Here we find a theory of art which exactly corresponds to the doctrine of *ātman*. Just as the passing things of experience are not in themselves real but only imperfect manifestations of reality, so word and explicit meaning are but the exterior of poetry and until we penetrate beneath that exterior, we do not reach the poetic ultimate.

So far we have considered the essence of poetry as consisting in the imaginative thought or the emotional mood which a poet succeeds in communicating to us. But gradually more stress came to be laid upon the latter than upon the former. Under the influence of the altered ethical ideal to which allusion has been made above art came to be more and more utilised as a means of emotional culture. There was peculiar fitness in its being so used, for it cannot only teach, but also please and while it can successfully persuade, it can keep its persuasive character concealed from view. It was thus that poetry came to be viewed as possessing a double aim —the direct one of giving aesthetic delight (*sadyaḥparanirvṛti*) and the indirect one of contributing toward the refinement of character.[14] This particular use to which art was put made *rasa* more important than either *vastu* or *alaṁkāra*.[15] It is this change in the nature of Sanskrit poetry that is meant when it is stated that *rasa* is the *ātman* of poetry—a statement which by the way shows clearly the dependence of this canon on the *ātman* doctrine of the *Upaniṣads*. When the predominance of *rasa* came to be insisted upon as indispensable to artistic excellence, many of the systems of philosophy applied their own fundamental principles to its interpretation so that in course of time there came to be more than one theory of rasa. I shall

devote the rest of the paper to an elucidation of these theories according to two of the chief systems, *viz*., Vedānta and Sāṁkhya alluding incidentally to the corresponding conceptions of beauty in Nature.

And first as regards the Vedānta. Among the various approximate terms used in the *Upaniṣads* to denote *Brahman*, one is *ānanda*. *Ānanda* means bliss; and *Brahman* according to the monistic and idealistic teaching of the *Upaniṣads*, represents the inner harmony of the universe. *Brahman* is termed *ānanda* because of the restful bliss that results from realising that harmony. *Brahman* is so termed for instance in the *Tait*. *Up*. iii. The appropriateness of the term *ānanda* consists just in this suggestion that the harmony of the universe must be realised in one's own experience and not merely intellectually apprehended; for there can be no such thing as mediated *ānanda*. This word contains the clue to the whole aesthetic theory of the Vedānta. Common experience takes for granted that variety is the ultimate truth. According to the Vedānta, the final truth lies in the unification of this variety through a proper synthesis. But this unification is what takes place in perfect knowledge. Commonly we are occupied with appearances which give only a fragmentary view of reality. They alone concern us in our everyday life. But he who attains perfect knowledge—the *jīvanmukta*—transcends this frag-mentary view. He may continue to perceive variety; but it ceases to have any ultimate significance for him. He merges in the unity which he realises all separate existence including his own and enjoys *ānanda*—the peace that passeth understanding. This higher viewpoint is not possible for us while we are yet on the empirical plane. We are absorbed in the narrow distinction between the self and the not-self. But sometimes, though rarely, there is a break in this routine and then in the sudden transition from one empirical state to another, we transcend our narrow selves. Our con-nection with the work-a-day world seems to snap. We do not indeed realise then, like the knower, the unity of all that is, but we yet resemble him in one respect, in that we lose sight of ourselves and feel delight, however short-lived it may be.

But among the myriad impressions that reach us from the outer world what is it that gives rise to such an attitude? This question admits of a variety of answers. It is now symmetry, now novelty, and now something else; and it is this variety that accounts for the almost bewildering number of theories of the beautiful that one finds in any history of aesthetics.

According to the Vedanta, these do not constitute true beauty at all but are only its outward and visible symbols. Though diverse in themselves they point to the same underlying harmony which constitutes real beauty. But, this perfect beauty which is identical with the ultimate reality is revealed only to the knower. We perceive only its outward symbols and we may describe them as beautiful in a secondary sense, since we experience *ānanda* at their sight. Those who identify beauty with these external factors and seek it as an attribute forget that while these are perceivable by the senses, beauty is disclosed only to the 'inward eye'. True beauty is neither expressible in words nor knowable objectively; it can only be realised.

Beauty in Nature then, as we commonly understand, is anything that brings about a break in the routine life and serves as a point of departure towards the realisation of delight. This is the only condition which it should satisfy. But what is the significance of this break? Generally we lead a life of continuous tension, bent as we are upon securing aims more or less personal in character. In Śaṃkara's words life is characterised by *avidyā-kāma-karma*, i.e. desire and strife, arising out of the ignorance of the ultimate truth. When we are not actively engaged we may feel this tension relaxed; but that feeling of relaxation is deceptive for even then self-interest persists as may be within the experience of us all. Delight means the transcending of even this inner strain. The absence of desire then is the determining condition of pleasure; and its presence, that of pain. The absence of desire may be due to any cause whatever—to a particular desire having been gratified or to there being, for the time, nothing to desire. The chief thing is that the selfish attitude of the mind—the 'ego-centric predicament'—must be transcended at least temporarily, and a point of detachment has to be reached before we can enjoy happiness. Joy or bliss is the intrinsic nature of the self according to the Vedanta, that being the significance of describing the ultimate reality as *ānanda*. The break in the routine life restores this character to the self. If its intrinsic nature is not always manifest, it is because desire veils it. When this veil is stripped off, no matter how, the real nature of *ātman* asserts itself and we feel the happiness which is all our own. In the case of a *jñānin* the true source of this delight is known; but even when such enlightenment is lacking we may experience similar delight. We may enjoy while yet we do not know. To use Śaṃkara's words again, the ever-recurring series of *kāma* and *karman* or interest and activity constitutes life. The elimination of *kāma* and *karman*

while their cause *avidyā* continues in a latent form, marks the aesthetic attitude; the dismissal of *avidyā* even in this latent form marks the saintly attitude. Thus the artistic attitude is one of disinterested contemplation but not of true enlightenment while the attitude of the saint is one of true enlightenment and disinterestedness but not necessarily of passivity. The two attitudes thus resemble each other in one important respect, *viz.*, unselfishness.

And now as regards the Vedāntic theory of *rasa*. The immediate aim of art, as already indicated, being pure delight, the theory of *rasa* in the Vedānta will be known if we ascertain the conditions that determine a pleasurable attitude of the mind. The overcoming of desire is the indispensable condition of pleasure. The artist has therefore to induce an attitude of detachment and he can easily do it by means of the ideal creations of his art. Being products of fancy they cannot awaken desire and when attention is once concentrated upon them, the ordinary state of tension caused by selfish desires is relaxed and joy ensues as a matter of course. The various devices of art such as rhythm, symmetry, etc., are intended to help this concentration and successfully maintain it. They also serve another important purpose, *viz.*, securing unity to the subject portrayed. We have seen that the knower who enjoys perfect beatitude realises unity in Nature's diversity. Similarly in artistic perception also, which is followed by pure delight, there is a realisation of unity in variety. But while in the one case what is realised is the truth of Nature, it is in the other the truth of art. The latter, no doubt, is a lower truth; but there is yet a close resemblance between the two attitudes; and we may well compare the person appreciating art to a *jīvanmukta*. He does indeed get a foretaste of *mokṣa* then; but it is not *mokṣa* in fact because it is transient, not being based upon perfect knowledge.

To turn to the Sāṁkhya: the essential features of this system are its dualism and its realism. It starts with two absolutes which are altogether disparate—*Prakṛti* and *Puruṣa*. The former splits up on the one hand into the entire psychic apparatus, with *buddhi* as its main factor; and, on the other, into the physical world constituted out of the five elements. The *Puruṣa* or self is awareness, pure and simple. It stands at one extreme while at the other is the objective world. The whole of the mental apparatus is designed to bring about a mediation between them. How *buddhi*, itself a

product of *Prakṛti*, can serve as a connecting link between them—how a physical stimulus is converted into a physical experience—is a question which we need not stop to discuss. Our concern is not primarily with Śāṁrhkhya psychology or metaphysics but only with its conception of art. It is enough for our purpose if we remember that by such meditation *buddhi* enables the *Puruṣa* to realise either of the two ideals of life—*bhoga* and *apavarga*—that is, to experience pleasure and pain or to attain spiritual aloofness through right knowledge.

It is also necessary to make a brief reference here to the theory of the three *guṇas*. The conception of *guṇas* is as difficult to understand as it is essential to the system. Of the large number of effects[16] that can be traced to these *guṇas*, *sukha*, *duḥkha* and *moha*, which are respectively the result of *sattva*, *rajas* and *tamas*, are the most important; and it is possible that the Sāṁkhya system is less concerned with the intrinsic nature of things than with their meaning for us. It seems to aim primarily at estimating the value[17] of things as means of pleasure and pain and may therefore be described as a philosophy of valuation. Two applications of the doctrine of *guṇas*, we have to notice in particular here: (i) Everything whether it belongs to the outer physical world or to the inner psychic apparatus is made up of these three factors. But some are predominantly *sāttvic*, others predominantly *rājasic* or *tāmasic*. The *buddhi* is intrinsically *sāttvic* in this sense.[18] We must, however, remember that each individual *buddhi* has in it, from the beginning, *vāsanās* or acquired impulses which may modify its intrinsic *sāttvic* character and transform it into a predominantly *rājasic* or *tāmasic* entity, (ii) The feeling of pain or pleasure which we experience arises from the interaction of the two spheres of *prākṛtic* development—the *buddhi* on the one hand and the objective world on the other, the *Puruṣa* standing by, only as an onlooker. Though the *buddhi* owing to its intrinsic *sāttvic* character should give rise only to pleasure, the play of its acquired impulses coupled with the character of the particular physical object acting upon it may reverse this result. The same thing may therefore affect different persons differently. What causes pleasure to one may cause pain to another, and what one regards as beautiful, another may regard as ugly; everything that is perceived comes to be viewed through the distracting medium of individual purpose, and we ordinarily live in a secondary world,

ignoring the intrinsic nature of things and setting a conventional value upon them according to our individual bias.

Now according to the Sāṁkhya, the basic cause of this predicament is to be traced to a mistaken identification of the *buddhi* with the *Puruṣa*. The mistake cannot be avoided until the *Puruṣa* dissociates himself from *buddhi* altogether, but, according to the Sāṁkhya, the question of neither pleasure nor pain arises then. So far as the ordinary empirical state is concerned, individual purpose or selfish desire is ineradicable and life becomes a condition of pain mixed with uncertain pleasure. What is pleasant to one may be unpleasant to another; or even to the same person at a different time. He, on the other hand, who acquires true knowledge and realises the intrinsic disparateness of *Prakṛti* and *Puruṣa* transcends the sphere of pain as well as of pleasure. Such a man is a *jīvanmukta*. He sees things not as related to him but as related among themselves, that is, as they are absolutely. Everything impresses him in the same way and nothing excites his love or hatred so that he is able to maintain complete composure of mind, and be, as Vijñabhikṣu says, serene like a mountain-tarn.[19]

But such absolute detachment is beyond the reach of ordinary man; for he cannot transcend his *buddhi*. He cannot therefore grow impersonal even for a while. But we should not therefore consider that the average man cannot escape from pain at all: for although he cannot transcend his *buddhi*, he can, by resorting to art, find a temporary release from the natural world, the second of the two factors contributing to the misery of ordinary existence. Pleasure untainted by sorrow does not exist in the real world and has therefore to be sought outside it. The world of art is no doubt like Nature, but being idealised it does not evoke our egoistic impulses. There we have a distinct class of things altogether, which are not made up of the three *guṇas*. They cannot give rise to either pleasure or pain. The mind is thus enabled to assume a well-poised attitude of which the automatic result is a feeling of pleasure. The artist's function is thus to restore equanimity to the mind by leading us away from the common world and offering us another in exchange.

I have stated that in not a few systems of philosophy, there was a deliberate application of fundamental principles to the interpretation of *rasa*. The distinctive doctrines of more than one system are found mentioned in Sanskrit works on poetics.[20] As an illustration of them, I shall

take up the theory of *rasa* associated with the name of Bhaṭṭa Nāyaka and show how it is identical with the Sāṃkhya theory as briefly sketched above.[21] Bhaṭṭa Nāyaka was a reputed *ālaṃkarika* and wrote a work known as *Hṛdaya-darpaṇa* which, I believe, has not been discovered yet. But references to it are plentiful in *alaṃkara* works, especially in Abhinavagupta's commentary on the *Dhvanyāloka*. Bhaṭṭa Nāyaka does not seem to have been much older than Abhinavagupta himself. The following is a *resume* of the theory as given in the *Kāvya-prakāśa*:

na tāṭṭasthyena nāmagatatvena rasaḥ pratīyate notpadyate nābhivyajyate api tu kāvye nāṭye cābhidhāto dvitīyena vibhāvādisādhāraṇīkaraṇatmanā bhāvakat-vavyāpāreṇa bhāvyamānaḥ sthāyī sattvodrekaprakāśā-nandamayasaṃvidviśrāntisatattvena bhogena bhujyate // (iv.)

If we leave out the references to the other views from which the present theory differs, there are three points worthy of note here:

(i) The first refers to the nature of the objects contemplated in art. They have no reference to anybody in particular. In life everything is consciously or unconsciously related to the individual perceiver (*ātman*) or to some one else (*tatastha*); but the creations of art are wholly impersonal. It is not given to the ordinary man to transcend personal relations; art by its impresonalised forms affords the best means for a temporary escape from the ills of life arising from such relations.

(ii) The next point refers to three stages in the appreciation of poetry which gradually lead up to aesthetic experience. The first of them is the apprehension of the meaning of the words of a poem; the second the finding through them of generalised conceptions unrelated to any one in particular and lastly the actual experience of delight. This statement brings out clearly the characteristic of the Sāṃkhya theory that aesthetic delight is the result of contemplating the imaginative and therefore impersonal creations of the poet. In the passage quoted above these three states are represented as *vyāpāras* or processes ascribable to a work of art. The first of them is *abhidhā* by means of which the words constituting a poem convey their ordinary meaning. The second is *bhāvanā*.[22] It is the process of impersonalising by virtue of which the accessories of the emotion portrayed such as the *vibhāvas* become generalised (*sādhāṃīkṛta*) thereby gaining a power of equal appeal to all. The words and their literal meanings are not

therefore to be regarded as important in themselves but only as pointing to these generalised ideas. The third or *bhogīkarana* is that by virtue of which we are enabled to derive pure pleasure—*bhoga*—from these idealised creations of the artist. The purpose of evolution in the Sāṁkhya is *bhoga* and *apavarga* and the use of this word *bhoga* in this passage constitutes a link connecting the present theory with the Sāṁkhya. What is implied by the use of this word here is that the artistic attitude in spite of its being the source of unalloyed pleasure is more akin to the empirical than to the saintly attitude. Of these three *vyāpāras* the first is recognised by all. But it appears strange that the remaining two should be ascribed to a work of art. If however we remember that this theory is based on the Sāṁkhya we see that the statement is not altogether inappropriate. The *Puruṣa* according to the Sāṁkhya conception is absolutely passive so that all activity must be of *Prakṛti*. *Prakṛti* not only creates everything but also brings about *Puruṣa*'s experience of pleasure and pain through them, by means of its own agency. Thus *Prakṣti* discharges two functions: (*a*) that of evolving the things through which pleasure or pain may be derived, and (*b*) that of enabling *Puruṣa* to experience such pleasure and pain. These two steps may be seen in art also, if we distinguish the apprehension of idealised forms from the aesthetic enjoyment derivable from them. There is no doubt a touch of personification in the manner of its statement by Bhatta Nayaka: but that is probably to be attributed to a desire to maintain the parallelism with Sāṁkhya metaphysics.

(iii) The third point refers to the nature of the aesthetic attitude itself. This attitude is one of *saṁvit*, i.e. contemplation dissociated from all practical interest as is shown by *viśrānti*—'com-posure'. Thus the artistic attitude differs from the natural as well as the spiritual attitude; for while the former is not always plea-surable and the latter neither pleasurable nor painful art produces a condition of pure pleasure. We have here the expression *sattvodreka* which is important inasmuch as it contains another indication of the theory being based upon Sāṁkhya philosophy.

To sum up the essential differences between the Vedānta and Sāṁkhya aesthetics. According to pessimistic Sāṁkhya, Nature is not wholly beautiful but has in it phases of beauty as well as of ugliness. It does not indeed say the objects in Nature do not give delight at all. What it means is that there is nothing in Nature which at all times is pleasurable to all. For

pure unalloyed pleasure we must therefore look elsewhere than in the real world. According to optimistic Vedanta on the other hand everything is beautiful and there is nothing in the universe to mar its inward harmony. This is indeed the first corollary of the *ātman* doctrine and the saint is the greatest artist, for everything delights him. Although we may not possess the saint's knowledge that everything is *ātman*, we can occasionally derive aesthetic enjoyment from Nature. But ordinarily we are too dull to perceive the beauty of the universe. The artist who is endowed with an eye for the beautiful derives pleasure from Nature where we cannot and through the expression which he spontaneously gives to his feeling, he opens our eyes to what we miss. In a sense this art is Nature herself presented in such a manner that it appeals to us. The aim of art according to both the systems is to induce a mood of detachment. But according to idealistic Vedānta the artistic attitude is characterised by a forgetting, though temporary, of our individuality; while according to realistic Sāṁkhya, it is due to an escape from the natural world. According to the former, art serves as a pathway to Reality; but according to the latter, it is so to speak a 'deflection' from Reality. The one reveals the best in Nature, while the other fashions something better than Nature.

I must in conclusion say a word in regard to my selecting a subject which may appear to some as rather out of the way. Research has till now been largely confined to linguistic, historical and similar aspects of oriental learning; but there are still other aspects of it which cannot be regarded as either less instructive or less interesting. It appears necessary in the future not only to carry research further in the departments already worked, but also to widen considerably the sphere of research itself. What I have attempted in this paper does not profess to be more than a first and a very imperfect sketch of the subject I have selected; but I trust it is sufficient to indicate what vast fields of ancient Indian learning lie unexplored.

[1] See *The Philosophy of the Beautiful*, by William Knight, Part I, p. 17.

[2] Compare, e.g. *Sāṁkhya-kārikā*, st. 65; *Sāṁkhya-tattva-kaumudī* on st. 42, 59; and *Pañcadaśī* of Vidyāraṇya, ch. X.

[3] The word *jīvanmukta* is not known to the *Upaniṣads*; but the conception is there all the same. Cf., e.g. *Kaṭha Up*. II, ii. 1., II. iii. 14.

[4] e.g. v. 23–5.

[5] Comp., e.g. the first śloka of the *Pratāparudrīya; Alaṁkdra-sarvasva* (Nir. S. Pr.), p. 3.

[6] e.g. by Udbhaṭa (see *Alaṁkāra-sarvasva* by Ruyyaka, p. 7).

[7] See Vāmana: *Kāvyālaṁkāra-sūtra*, III. i. 1, 2 and 3.

[8] Vide *Alaṁkāra-sarvasva* by Ruyyaka, pp. 3–7; *Dhvanyāloka*, pp. 9–10.

[9] Vide śloka i. 1; iii. 34, 52; also the final śloka of the *Āloka*.

[10] Vide *Dhvanyāloka*, i. 3–5.

[11] Ibid., i. 7–12.

[12] Cf. *Dhvanyāloka*, ii. 6.

[13] See *Dhvanyāloka*, iii. 52.

[14] Cf., e.g. *Kāvya-prakāśa*, i. 2.

[15] Cf., e.g. *Dhvanyāloka*, p. 27 (com.).

[16] Vide quotation from *Pañcaśikhā* in *Sāṁkhya-pravacana-bhāṣya*, i. 127.

[17] Since no value has any meaning apart from consciousness, we probably have here an explanation for the persistent effort of certain orientalists to describe the Sāṁkhya philosophy as idealistic.

[18] What is meant is that *buddhi* when purged of all its egoistic impulses as in the case of a *jīvanmukta*, is *sāttvic*. Compare *Sāṁkhya-tattva-kaumudī* on st. 65; *Maṇiprabhā* on *Yogas\-utras*, I. 49; and *Sāṁkhya-pravacana-bhāṣya*, ii. 15.

[19] *Sāṁkhya-sāra*, vii. 16.

[20] The commentary on *Ālaṁkāra-sarvasva* refers to as many as a dozen theories. (Vide p. 9.)

[21] The *Kāvya-pradīpa* identifies this theory as the one corresponding to the Sāṁkhya.

[22] The word *bhāvanā* reminds one of *Mīmāṁsā* and it is possible that Bhaṭṭa Nāyaka was indebted to that system of philosophy for this conception. He was, we know from Abhinavagupta, a *Mīmāṁsaka*. In one of his many unkind remarks against Bhaṭṭa Nāyaka, Abhinavagupta suggests this. Cf. *Dhvanyāloka*, p. 63.

Art Experience—2

O F THE INDIAN theories of art the most important is the one known as the Rasa theory. References to it are found in very early Sanskrit works, but it was not formulated and clearly expounded until the ninth century A.D.[1] In various directions, it marks an advance on the earlier theories and has virtually superseded them. In one respect, *viz*., its conception of the aim of art, it is quite unique. The purpose of the present article is to explain the nature of this conception, and briefly to indicate wherein its uniqueness lies. Though the theory applies equally to all the fine arts, it has been particularly well-developed in relation to poetry and the drama; and we shall therefore consider it here mainly from that standpoint. But before we proceed to do so, it is desirable, for the sake of contrast, to make a reference to the general Indian view of poetry so far as it bears on the topic we are to consider.

I

There are two points of view from which the aim of poetry may be considered—one, of the poet, and the other, of the reader of poetry.[2] But for us, in explaining the distinctive feature of the view taken of it in the Rasa school, it is the latter that is more important. Let us therefore begin by asking the question: What is the use of poetry to its reader? The answer that is almost universally given to this question by Indian writers is pleasure (*prīti*)[3] It may have other uses also for him. For example, it may have some lesson or criticism of life to convey to him; but they are all more or less remote, unlike pleasure which is its immediate use[4] or value for him. But pleasure here is not to be taken in the abstract; rather, to judge from the explanation given of its nature in Indian works, it stands for a state of the self or a mode of experience of which it is a constant and conspicuous feature. Hence pleasure, by itself, does not constitute the whole of what is experienced at the time of poetic appreciation, but is only an aspect of it. The immediate value of poetry for the reader then is the attainment of this enjoyable experience and not mere pleasure. That is its primary use, and any other use it may have for him is a further good which poetry brings.

But pleasure, even when thus understood, is an end that is associated with many kinds of activities such, for example, as eating or bathing which none would place on the same level as poetry. It is therefore necessary to distinguish between the two. The distinction depends chiefly on the fact that, though art may eventually be based upon Nature, we are, in appreciating the objects it depicts, concerned more with their appearance than with their actual existence. In art, as it has been stated, 'we value the semblance above the reality'. So the artist selects only those among the features of the object to be depicted that are necessary for making his representation appear like it, and omits all the rest. A painter, for example, does not actually show us the thickness or depth of the things he paints, but yet succeeds in giving us an idea of their solidity. Art objects have consequently no place in the everyday world of space and time; and, owing to this lack of spatio-temporal position or physical status, the question of reality does not apply to them. This does not mean that they are unreal; it

only means that the distinction of existence and non-existence does not arise at all in their case.[5]

But we should not think that these objects may therefore be of no interest to the reader. They have their own attraction for him, because a certain element of novelty enters into their representation. We have stated that the artist selects those features of the object he deals with which will make it retain its resemblance to the real. But that is not the whole truth, for he has also recourse often to fresh invention. Thus an Indian poet, in referring to the appearance of the earth on a moonlit night, represents it as 'carved out of ivory'. Almost all the writers on poetics lay down that *pratibhāna*, which may be rendered in English as 'creative fancy', is an indispensable condition of genuine poetry. It is 'the seed of poetry' (*kavitva-bīja*) according to them. But the Sanskrit word further connotes that the object so fancied is experienced *as if* it is being actually perceived—'like a globular fruit', it is said, 'placed on the palm of one's own hand'. But such invention does not mean the introduction of new features for their own sake. They are not merely pleasant fictions. When a poet, for instance, pictures fairies as dwelling in flowers or a cloud as carrying a message of love, he does so in strict conformity to the total imaginative vision which has inspired him to the creation of the particular work of art. The art object is thus much more than an appearance of the actual. It involves a good deal of mental construction and far surpasses in quality its counterpart in Nature.[6] In other words, the poet idealises the objects in depicting them; and it is in this process that they are raised to the level of art and acquire aesthetic significance and, though not real, come to be of interest to the reader.

As a result of their idealised character, art objects lose their appeal to the egoistic or practical self and appear the same to all. That is, art appreciation is indifferent not only to the distinction between the real and the unreal, but also to that between desire and aversion. They become impersonal in their appeal, and therefore enjoyable in and for themselves.[7] It is the complete detachment with which, in consequence, we view them, that makes our attitude then one of pure contemplation. But we must be careful to remember that by describing this attitude as contemplative, we do not mean that it is passive and excludes all activity. The very fact that it is an *appreciative* attitude implies that it is active. The belief that it is passive is the result of mistaking the disinterested for what is totally lacking in

interest. But, as we have seen, the art object has its own interest to the spectator; and, so long as his mind is under the selective control of interest, it can by no means be regarded as passive. All that is meant by saying that the art object makes no appeal to the practical self is that our attention then is confined wholly to that object, and that it is not diverted therefrom by any thought of an ulterior use to which it may be put.

This transcendence of the egoistic self in the contemplation of art profoundly alters the nature of the pleasure derived from it. Being altogether divorced from reference to personal interests, one's own or that of others', art experience is free from all the limitations of common pleasure, due to the prejudices of everyday life such as narrow attachment and envy. In a word, the contemplation being disinterested, the pleasure which it yields will be absolutely pure. That is the significance of its description by Indian writers as 'higher pleasure' (*para-nirvṛti*)[8] And art will yield such pleasure, it should be observed, not only when its subject-matter is pleasant, but even when it is not, as in a tragedy with its representation of unusual suffering and irremediable disaster. The facts poetised may, as parts of the actual world, be the source of pain as well as pleasure; but, when they are contemplated in their idealised form, they should necessarily give rise only to the latter. It is for this reason that pleasure is represented in Indian works as the *sole* aim of all art.[9] It means that the spectator, in appreciating art, rises above the duality of pain and pleasure as commonly known, and experiences pure joy. Here we see the differentia of poetic pleasure or, more generally, aesthetic delight.

II

The Rasa school agrees with the above conception of the poetic aim, but it distinguishes between two forms of it; and, since the distinction depends upon the view which the school takes of the theme of poetry, we have first to indicate the nature of that view. The theme of poetry, according to the general Indian theory, may be anything. One of the oldest writers on poetics in Sanskrit remarks that there is nothing in the realm of being or in that of thought which does not serve the poet's purpose.[10] Nor is any distinction made there between one topic and another as regards fitness for poetic treatment. One subject is as good as another, and there is none on which a fine poem might not be written. The Rasa school also admits the suitability of all themes for poetic treatment, but it divides them into two classes—one comprising those that are *dominated* by some emotion, particularly an elemental one like love or pathos, and the other all the remaining ones; and it holds that, for the purpose of poetic treatment, the first is superior to the second.[11] The exact significance of this bifurcation of themes will become clear as we proceed. For the present, it will suffice to say that there are two types or order of poetry, according to this school, one dealing with 'emotional situations' in life, as we may describe them, and the other,[12] dealing with the other situations in life or with objects of external nature; and that the latter is reckoned as relatively inferior poetry. It is in justifying this discrimination that the Rasa school makes the differentiation in the purpose of poetry to which we have just referred. But before attempting to explain it, it is desirable to draw attention to one or two important points concerning emotional situations regarded as the theme of poetry.

A poem of the higher type, we have stated, depicts a situation which is predominantly emotional. This emphasis on the emotional character of the theme may lead one to suppose that the type resembles lyrical poetry, as distinguished (say) from the epic and the drama. The expression 'lyrical poetry' does not seem to have any very definite significance. But if, as implied by common usage, it stands for a particular class of poetry and signifies the expression by the poet of his own feelings,[13] we must say that, on neither of these considerations, is the above supposition correct:

In the first place, emotional situations may here to be the chief theme of *any* kind of poetry. In fact, their importance is discussed in the works of the school, particularly with reference to the drama; and the adoption of such a method is fully supported by the facts of India's literary history. Thus it is a situation of love that is dramatised by Kalidasa in his famous play the *Śākuntala*; and, in the case of the equally famous play of Bhavabhūti, the *Uttara-rāma-carita* which treats of the desertion of Sītā by her royal husband, it is one of deep pathos. It is not merely dramas that may choose such topics for treatment; even extensive epics are not precluded from doing so. Thus the emotional element serves here as the basis for contrasting different *grades*, rather than different *forms* of poetry. We may adopt any classification of it we like. Every one of the resulting classes, according to the present view, will comprise two grades of poetry—one the higher, in which the theme is predominantly emotional, and the other the lower, in which it is not so.

In the next place, the poet's own feeling, according to the Rasa view, is *never* the theme of poetry. This point is usually explained by reference to the episode narrated in the beginning of the *Rāmāyaṇa* about the birth of Sanskrit classical poetry. The details of the episode are attractive enough to bear repetition, and they are briefly as follows: On a certain day, in a beautiful forest bordering on his hermitage, Vālmīki, the future author of the epic, it is said, chanced to witness a fowler killing one of a pair of lovely birds that were disporting themselves on the branch of a tree. The evil-minded fowler had singled out the male bird, and had brought it down at one stroke. Seeing it lie dead on the ground, all bathed in blood, its companion began to wail in plaintive tones. The soft-hearted sage was moved intensely by the sight; and he burst into song which was full of pathos and which, according to tradition, became the prelude to the composition of the first great epic in Sanskrit.

The poetic utterance is apt to be viewed as the expression of the sage's sorrow at the sight he witnessed; but writers of the Rasa school point out that it cannot really be so,[14] for the utterance of personal feeling would be quite different. It is hardly natural, they say, for one that is tormented by grief to play the poet.[15] The sage is not preoccupied with his own immediate reaction to what he saw, but with something else, *viz.*, the objective scene itself. He is less concerned with his own feelings than with

what has stirred them, and the song gives expression to the poignancy of the latter. But, as in the case of other poetic themes, it is not the emotional situation as it actually was (*laukika*) that is represented in it. That would by no means constitute art. It is the situation as it is in the poet's vision,[16] or as it has been transfigured by his sensitive nature and imaginative power (*alaukika*). In other words, the situation is idealised. Absorption in such a situation, for the reason already set forth, means transcending the tensions of ordinary life, and thereby attaining a unique form of experience. It is when the poet is fully under the spell of such experience that he spontaneously expresses[17] himself in the form of poetry.

III

To explain now the nature of the differentiation which the Rasa school makes in the aim of poetry: We have stated that poems may be of two kinds —one with an emotional theme and the other in which the theme is different, like (say) natural scenery:

(1) In the latter, there are the words of the poem; and the thoughts and images which they convey[18] form its essential content. It is the disinterested contemplation of them that gives rise to the joy of poetry. This contemplation, as a mental state, involves a subjective as well as an objective factor; and it is the total absorption in the objective factor, forgetting the subjective, that constitutes poetic experience here.

(2) But the case is altogether different in the other type of poetry. For the central feature of the situation to be portrayed in it is an emotion; and no emotion is, in its essence, directly describable. The poet cannot therefore communicate it, as he can a thought or image.[19] He can only suggest it[20] to the reader, who has already had personal experience of it (for it cannot be made known to any other), by delineating its causes and consequences or, in other words, the objects that prompt it and the reactions which they provoke. That is, the emotional aspect of the situation can be indicated only in an indirect or mediate sense, the media being the thoughts and images, as conveyed by the poet's words, of the objective constituents of that situation. Thus what, by themselves, form the content in the other type of poetry here become the means to its suggestion. They accordingly occupy a place here similar to the one occupied by words there;[21] and the final aesthetic fact in this type of poetry thereby comes to be, not thoughts and images as in the other, but the emotional mood which they help to induce in the reader. Now, as an emotion is a phase of our own being and not a presentation, this mood cannot be *contemplated*, but can only be *lived through*,[22] and it is this inner process of experiencing that is the ultimate meaning or aim in this type of poetry. There is a presentational element involved in this case also, as certainly as there is in the other, and it has, of course, its own poetic quality of beauty, if we like to put it so; but reduced, as it becomes here, to merely a condition of suggesting the emotion, it slides into the margin in our consciousness, instead of occupying the focus as it does there.[23]

Thus the experience for which poetic appreciation stands here is vastly different from that for which it does in the other type of poetry. It also connotes detached joy; but, while the other experience takes the form of contemplating the poetic object, this one takes the form entirely of an inward realisation. The distinction will become clear, if we consider one or two examples. Let us contrast the example, already cited, of imagining the moonlit earth as 'carved out of ivory', with the appreciation of Kālidasa's *Cloud Messenger*, which depicts the forlorn state of a lover exiled from his home. In the former, there is plainly an external object in the focus of our attention; but in the latter, though it abounds in exquisite pictures of external nature, we have finally to look within in order to appreciate properly its ultimate meaning, *viz.*, the deep anguish of forced separation from the beloved. To take another pair of illustrations, let us compare Milton's description, in the *Nativity Hymn*, of the rising sun as 'in bed curtained with cloudy red' and as pillowing 'his chin upon an orient wave', and Tennyson's well-known lyric, *Break, break, break*, with its poignant lament for lost love, heightened by a knowledge of the difference of the world, as a whole, to the suffering of the individual. In the former, the reader is engrossed in an object outside himself; but, in the latter, he has to retreat, as it were, into his inner self to realise its final emotional import. Both varieties of experience, as being aesthetic, are marked by a temporary forgetting of the self. But while in one case, the ob-jective factor is *integral* to the ultimate poetic experience; in the other, it is not so,[24] because it has, as we have seen, only a marginal significance. That is, the emotion is experienced here virtually by itself, and the experience may accordingly be said to transcend, in a sense, the subject-object relation, and therefore to be of a higher order[25] than the mere contemplation of the other kind of poetry. It is this higher experience, that is called 'Rasa'.

The word 'Rasa' primarily means 'taste' or 'savour', such as sweetness; and, by a metaphorical extension, it has been applied to the type of experience referred to above. The point of the metaphor is that, as in the case of a taste like sweetness, there is no knowing of Rasa apart from directly experiencing it.[26] This experience, in addition to having its own affective tone or feeling of pleasure which is common to all aesthetic appreciation, is, as we know, predominantly emotional; and it is the latter feature, *viz.*, the predominance of its emotional quality, that distinguishes it

from the experience derivable from the other type of poetry, dealing with a subject like natural scenery. It naturally differs according to the specific kind of emotion portrayed—love, pathos, fear, wonder and the like; and, on the basis of this internal difference, Rasa experience is ordinarily divided into eight or nine kinds. But it is not necessary for our present purpose to enter into these details. Besides, Rasa is, in its intrinsic nature, but *one* according to the best authorities;[27] and its so-called varieties are only different forms of it, due to a difference in their respective psychological determinants. In its fundamental character, it signifies a mood of emotional exaltation which, on the ground of what has been stated so far, may be characterised as quite unique.

It is necessary to dwell further on the nature of this experience, if what is meant by Rasa is to be properly understood. We have shown that when a poet treats of an emotional theme, he never depicts his own feeling, but only that which distinguishes the objective situation occasioning that feeling. This should not be taken to mean that it is the awareness (to revert to our earlier illustration) of the bird's sorrow at the loss of its mate, even in its idealised form, which constitutes Rasa experience.[28] As already implied, it consists in an ideal revival (*udbo-dhana*) in the reader's mind of a like emotion which, being elemental by hypothesis, may be expected to lie latent in all. Being a revival, it necessarily goes back to his past experience; but it is, at the same time, very much more than a reminiscence. In particular, the emotional situation, owing to the profound transformation which it undergoes in the process of poetic treatment, will throw a new light on that experience, and reveal its deeper significance for life as, for instance, in the case of love, in Kālidāsa's *Śākuntala*, which appears first as the manifestation of a natural impulse but is transformed before the play concludes into what has been descried as 'a spiritual welding of hearts'. To realise such significance fully, the reader's own efforts become necessary in the way of imaginatively reproducing in his mind the whole situation as it has been depicted by the poet. Rasa experience is thus the outcome more of reconstruction than of remembrance. The whole theory is based on the recognition of an affinity of nature between the poet and the reader of poetry; and, on the basis of this affinity, it is explained that appreciation of poetry is essentially the same as the creation of it.[29] The need for presupposing past experience arises from the peculiar nature of emotion, to

which we have already drawn attention, *viz.*, its essential privacy owing to which it remains opaque, as it were, to all those who have not personally felt it. But past experience serves merely as the centre round which the reconstruction takes place; and, in this reconstructed form, it is anything but personal.[30]

The point to be specially noticed here is that emotions are not *communicated* by the poet to the reader, as it is often assumed.[31] In fact, they *cannot* be communicated according to the present theory. All that the poet can do is to awaken in him an emotion similar to the one he is depicting. Even this awakening, it should be noted, is not the result of any conscious purpose on the part of the poet. The spontaneous character of all poetic utterance precludes such a supposition. The poet is intent, not upon influencing the reader in this or that way, but upon giving expression, as best he can, to his unique experience. It is this expression, that is primary, and the kindling up or waking to life of the emo-tion in the mind of the reader is more in the nature of its consequence than the result of any set purpose behind it. The reader starts from the poet's expression; and, if he is competent, that is, if he is sufficiently sensitive and sympathetic, he succeeds in capturing for himself the experience which it embodies. The process whereby such ideal awakening takes place is described:[32] Briefly, the mind of the responsive reader first becomes attuned to the emotional situation portrayed (*hṛdaya-saṁvāda*), through one or more of the knowing touches which every good poem is sure to contain; is then absorbed in its portrayal (*tanmayī-bhavana*); and this absorption, in the deeper sense already explained, results in the aesthetic rapture of Rasa (*rasānubhava*).

If this type of poetry were identical with lyrical and with short poems, we might have a relatively simple emotion as its characteristic feature. But when its scope is widened as here, the emotions involved may be very complex, indeed. In an epic, for example, practically all the familiar emotions are likely to appear at one stage or another; and, if they are not well co-ordinated, the aesthetic value of the poem will suffer. Hence the exponents of the Rasa view lay down that the treatment of the theme by the poet should be such as to secure the unity of the different emotions suggested—a unity which, they insist, is as important a canon of poetic composition here, as the unity of action is admit-ted to be in the case of all poetry.[33] Only a single emotion should be represented in a poem as

dominant on the whole; and its progressive development from the moment of its emergence to its natural culmination should be methodically delineated. Its many and varied manifestations should be properly related to it, so that its portrayal may become internally coherent. Where other emotions, not altogether incompatible with it, enter the situation, they should all be synthetically related to it. Everything else also, like the construction of the plot, the interludes, characterisation and the poetic imagery in which the artist clothes his ideas should be oriented towards the ruling emotion. Even the diction and the other refinements of style must be appropriate to its nature. In one word, fitness (*aucitya*) of everything that has any bearing on it is the life-breath of Rasa.[34] This topic occupies considerable space in the works of the school; but, in view of its uniform recognition of the spontaneity of all poetic utterance, the rules formulated in this connection are to be looked upon more as aids in appraising the worth of a poem of this type than as restraints placed upon the freedom of the poet.

But the intrinsic worth of a poem is not all that is needed for its true appreciation. The reader also should be properly equipped for it. No doubt, the emotion depicted in this type of poetry is elemental, and therefore familiar to all. But that only signifies the universality of its appeal. It means that nobody is excluded from appreciating it, merely by virtue of its theme. The reader, in addition to possessing a general artistic aptitude specially qualified, if he is to appraise and enjoy a poem of the present type.[35] These qualifications are compendiously indicated by saying that he should be a *sa-hṛdaya?*,[36] a word which cannot easily be rendered in English. It literally means 'one of similar heart', and may be taken to signify a person whose insight into the nature of poetry is, in point of depth, next only to that of the poet. In the absence of adequate equipment, he may lose sight of the Rasa aspect and get absorbed in the objective details portrayed by the poet which also, as we said, have a poetic qualify of their own. We would then be preferring the externals of true poetry to its essence; or, as Indian critics put it, he would mistake the 'body' (*śarīra*) of poetry for its 'soul' (*ātmari*).[37] To cite a parallel from another of the fine arts, he will be like a person who, in looking on a statue of Buddha in meditative posture, remains satisfied with admiring the beauty, naturalness and proportion of its outward features, but fails to realise the ideal of serenity and calm depicted there,

which constitutes its ultimate meaning. It is on this basis, *viz.*, that it is not merely the intrinsic excellence of a poem that is required for attaining Rasa experience but also a special capacity for it in the reader, that the present school explains how, though great poets like Kālidāsa have tacitly endorsed the Rasa view by the place of supremacy they have given to emotion in their best works, it took so long for theorists to discover that they had done so.

Such, in brief outline, is the Rasa view advocated by what is known as the 'later' (*navīna*) school of art critics in India, as distinguished from the 'earlier' (*prācīna*). We have already drawn attention to one or two important points in the Rasa theory, in which it differs from the generality of aesthetic views. For example, it rejects the very common view that a poet may, and often does, give expression to his own feelings in poetry. Here is another point which is far more important, *viz.*, the discovery that there is an order of poetry which requires a deeper form of appreciation and yields a higher kind of aesthetic experience than is ordinarily acknowledged; and in this discovery, we may say, consists one of the chief contributions of India to the general philosophy of art.

[1] This formulation is found in the *Dhvanyāloka* of Ānandavardhana. It was authoritatively commented upon in the tenth century A.D. by Abhinavagupta. We shall hereafter refer to this work as *DA.*, and our references will be to the first edition of it printed at Bombay in 1891.

[2] It is not meant by this that the two view-points necessarily differ in every respect.

[3] See, e.g. Vāmana's *Kāvyālaṁkāra-sūtra*, I. i. 5.

[4] Cf. the term *sadyaḥ* ('instantly') used in describing the aim of poetry in *Kāvya-prākāśa* (Bombay Sanskrit Series), p. 8: *sadyaḥ paranirvṛti*. This work will be referred to as *KP.*, hereafter.

[5] Cf. *KP.*, pp. 102–3, where this point is illustrated by the example of a 'painted horse' (*citra-turaga*).

[6] The following anecdote narrated about a famous painter of modem times brings out this feature very well. When the artist had painted a sunset, somebody said to him, 'I never saw a sunset like that'; and he replied, 'Don't you wish you could?'

[7] Cf. *KP.*, p. 107. This does not, however, mean that the response to them will be the same in the case of all. It will certainly vary, but only according to the aesthetic sensibilities of particular individuals and not according to their other personal peculiarities.

[8] See note 4 above on p. 34. Cf. the explanation of *prīti* as *alaulika-camat-kāra* in *DA.*, p. 203 (com.). In view of this higher character, it would be better to substitute for it a word like 'joy' or 'delight'. But for the sake of uniformity, we shall generally use the word 'pleasure' itself.

[9] *KP.*, i. 1 (p. 2): (*hlādaikamayī*). Since no pleasure, as commonly known, answers to this description, it is not a hedonistic view of art, in the accepted sense, that we have here.

[10] Bhāmaha's *Kāvyālaṁkāra*, v. 4.

[11] *DA.*, p. 28; pp. 20–7 (com.).

[12] This class is further divided in a twofold way, but the division is not of importance for us here.

[13] Cf. 'Lyric poetry is the expression by the poet of his own feelings': Ruskin.

[14] *Na tu muneḥ śoka iti mantavyam: DA.*, pp. 27–8 (com.).

[15] [In another paper called 'The Idea of Rasa' which was not published and which seems to be an earlier and shorter version of the present one, Prof. Hiriyanna has, at this place, the following footnote: 'This should not be taken to mean the elimination of all lyric poetry which, as ordinarily understood, gives expression to the poet's own feeling. It may well do so; only we have to look upon that feeling also as treated objectively by him in it. Cf. Wordsworth's saying, "Poetry springs from emotion recollected" (and, we should add, "sublimated") "in tranquility".' —Ed.]

[16] Indian writers describe this as 'in the poem' (*kāvya-gata*) to distinguish it from the fact poetised, which is outside it. See *DA.*, p. 56 (com.).

[17] *Yāvat pūrṇo na caitena tāvan naiva vamaty amum: DA.*, p. 27 (com.).

[18] It is not meant that words in a poem always or necessarily form only the medium of conveying thoughts or images. They may, and often do contribute directly to the beauty of the poem. We are overlooking that point since our purpose here is to bring out the distinction in aim in the case of the two types of poetry we are considering, and not to explain the nature of either completely.

[19] The use of words like 'love' and 'anger' may convey to a person, who knows their meaning, an idea of the corresponding emotion; but it will be only an *idea* of them, while what is meant here is a *felt* emotion. See *DA.*, pp. 24–6.

[20] To use technical terms, it will necessarily be *vyaṅgya*. Thoughts and images also may be suggested; but they are, at the same time expressible and therefore *vācya* also.

[21] See *DA.*, pp. 31–2, 190–1.

[22] The same may appear to hold good of the other phases of mind also, but it does not. To consider the case of 'thought', the only one of them that has a bearing on our subject (see next note): According to the Indian conception, the term 'thought' (jñāna) means 'what reveals' (*prakāśaka*); and thought, in this sense, is always intimately connected with 'what is revealed' by it *(prakāśya), viz.*, the object. Hence the *process of thinking*, apart from reference to some presentation, is meaningless. When it has meaning, i.e. 'when it is considered along with the presentational element', it becomes expressible and can also be contemplated. Cf. *Arthenaiva viśeso his nirdkarataya dhiyam*.

[23] Ordinarily an emotion, no doubt, is also directed upon some object; but here, as aesthetic activity is not practical in its usual sense, this element is lacking.

[24] Cf. *Rasādir artho hi sahaiva vācyenāvabhāsate: DA.*, p. 67. See also pp. 182–7.

[25] It will be noticed that, in thus ascribing a superior status to Rasa experience, the value of neither the subjective nor the objective factor is denied, since the need for it of personal experience (remotely) and of appropriate objective accompaniments (externally) is fully recognised.

[26] Cf. *āsvādyamānatā-prā ṅatayā bhānti: DA.*, p. 24 (com.).

[27] Cf. *Abhinava-bhāratī*, I pp. 273–4, 293.

[28] *DA.*, pp. 56–7 (com.).

[29] *Nāyakasya kaveḥ srotuh samānonubhavaḥ. DA.*, p. 20 (com.). Cf. 'To listen to a harmony is to commune with its composer'.

[30] *Tat-kāla-vigalita-parimita-pramātṛ-bhāva: KP.*, p. 108.

[31] Cf. What has been described as the 'infection theory' of Tolstoy.

[32] See, e.g. *DA.*, pp. 11, 15, 24 and 27 (com.).

[33] *DA.*, pp. 170–1.

[34] *DA.*, p. 145.

[35] *DA.*, pp. 18–19 (com.).

[36] *DA.*, p. 11 (com.).

[37] *DA.*, p. 13 (com.).

THE CONCEPT OF RASA

I

ARTISTIC ENJOYMENT

1. Indian aesthetics presents the characteristic concept of rasa for which it is difficult to find an English equivalent. Literally 'rasa' mean's two things among others—it means essence and it means what is tasted or felt. The aesthetic conception of rasa combines the two senses and signifies the essence of a feeling, which is indifferently taken either as an eternal feeling or as the object of it, an eternal value that is felt. 'Essence', however, is an intellectual concept and the phrase 'essence of feeling' requires explanation. 'Essence' here is not taken in the sense of a logical universal. There is no suggestion in the Indian theory of art, as in certain other theories, that the same universal that is known as the essence of things is apprehended in feeling in a confused way as rasa. The logical universal has sometimes been identified with the ideal for life and the aesthetic essence has been conceived as the ideal that is felt or the feeling of the ideal. R a s a in the Indian conception is not identified with the Idea or universal truth, or with the ideal to be realised or as realised. It is understood purely through feeling and in terms of feeling ; and if it is to be called essence or ideal, it can only be by way of metaphor. There is danger, however, of making too much of the metaphors both in the general theory of art and in the actual criticism of particular works of art. (Aesthetics—to start with at any rate—should not assume any speculative or religious postulates). What appears valuable to artistic feeling need not so appear—at least to the same degree—to the intellect or to the will, and feeling here should have the final say.

2. 'Rasa' means either aesthetic enjoyment or that which is aesthetically enjoyed. The significance of the concept is best interpreted by the orientation of aesthetic enjoyment in reference to other feelings. As will be explained presently, the artistic sentiment is not merely a feeling among feelings but the feeling par excellence, standing as it does on a new grade or level altogether as compared with other feelings. The place of a feeling is sometimes assigned in reference to the truth or known content with which it is bound up or to the order of its emergence in mental evolution. It, however, does not help us far to find the significance or distinctive value of

the feeling. This is best understood by the determination of the level or mental plane to which the feeling belongs.

3. We may begin by distinguishing between the direct feeling of an object and sympathy with such feeling. We speak of enjoying an object. What is the implication of the transitive use of the verb 'to enjoy'? It does not mean —at least to the enjoyer—that the object is only a means to the enjoyment: he feels no distinction between his enjoyment and the object. In this sense the clear-cut contrast of subject and object becomes obscured for feel-ing. The subject of the enjoyment unconsciously affects and is affected by the object. The object does not appear to him as a mere fact but as having a value, an enjoyable look or expression. The subject, too, does not feel his detachment from the object: he feels attracted into or weighed down by the object.

4. Consider next a feeling of which the direct object is another feeling, say, in a separate mind . This feeling of a feeling is to be distinguished from the mere understanding of it as a fact, which may leave one cold. Neither should it be confused with merely having a like feeling on the occasion of another's feeling. To sympathise with a person is to feel *him* feeling: only in this sense is his feeling the direct object of my feeling. We refer specially to sympathy, as it is the most familiar form of the feeling of feeling.

5. In sympathising with a child enjoying his toy, I am not interested like the child in the toy itself but in his enjoyment. Sympathy with joy is also joy but it is freer than the primary joy. I do not unconsciously project the joyous look or expression on the toy. I do not *see* it there like the child: I at best feel like *imagining it*. Nor do I like him feel fascinated by the toy, fed attracted into or glued down as it were to the toy. Not that I am altogether free in my sympathy, for I am still affected by the child's joy as a fact though not by the object of it, attracted by the particular feeling of the individual child as a compelling subjective fact. Even here, however, I do not lose the sense the child between my feeling and the child's feeling in the sense the child loses it between his feeling and the object of it.

6. By reason of this freedom then, feeling of feeling—of which we take sympathy as the type—may be taken as constituting a higher level than the feeling of an object. We have next to consider if artistic enjoyment does not belong to a higher level still. That it has at least something of the freedom

of sympathy can hardly be disputed. But it may be said that we seem to directly enjoy the beauty of an object and the beauty appears to be just as much *seen there* in the object as the terrible look of an object to one who feels terror. Where, it may be asked, is the distinction between such enjoyment and an ordinary object-feeling like terror ? How does the former stand on a higher level—the level at least of sympathy ? How sympathy with a feeling affects the object of the feeling requires first to be considered. Every feeling affects its object by lending a look or value to it. Sympathy does not indeed affect the object of the feeling sympathised with. To a person afraid of an object, the object has a terrible look but not one who sympathises with his fear. But the sympathiser, although he does not *see* the expression there, tends consciously to project something similar, to imagine seeing it there. The look or aspect that is consciously imagined differs from that which appears to be seen. The latter is presented as one with the given fact, as adjectival to it; whereas the former is presented as detached from the fact— as floating on it or as shining beyond it. The freedom of the sympathetic feeling, in fact, is reflected in the object as this detachment of expression from given fact, as expression 'in the air' without a substratum.

7. Now the beauty of an object, though not consciously projected on it by artistic feeling, does not appear to such feeling, as a quality or adjective of the object in the way the terrible aspect of an object does to one in fear. It is presented as a floating or transcendent expression like that which is consciously projected by sympathy on the object of the feeling sympathised with. The circumstance that beauty is not consciously projected but appears to be seen does indeed make a difference, to be explained presently . But that beauty is not presented as an adjective or quality of the object distinguishes it from the reflex of an object-feeling. That is why aesthetic enjoyment is taken to belong to a higher level than object-feeling. The question remains if it belongs to a level higher than sympathy.

8. We have pointed out that sympathy though unaffected by the object of feeling sympathised with, is still affected by and limited to the particular feeling and the individual subject to it. In sympathy, the detachment is felt from objective fact but not from subjective fact, though the distinction from the subject sympathised with is not observed. But there may be such a feeling as sympathy with sympathy. One may sympathise, for example, with a mother feeling for her child suffering. Just as my sympathy with a

person's feeling of an object is unaffected by the object, so my sympathy with a person's sympathy for a third person's feeling is unaffected by the feeling. It is thus on the level of this duplicated sympathy that a feeling can be emotionally contemplated in a detached way, felt as dissociated from its character as a given subjective fact, realised as self-subsisting value. To simple sympathy with a feeling, the object of the feeling has already a detached expression which, however, lacks reality by reason of the detachment. To this duplicated sympathy, the expression of the object is not only detached but self-subsisting, having a felt independent reality of which the given object is only a kind of symbol. Since it is altogether detached from the particularity of fact, it is a kind of eternal reality, a real eternal value.

9. Beauty, we hold, is just such an eternal value and aesthetic enjoyment accordingly belongs to the level of duplicated sympathy—sympathy with sympathy. That the beauty of an object appears to be seen rather than imagined shows that to feeling it has a reality not inferior to that of the object as a given fact. That it is not seen as a quality or adjective of the object and is yet not presented as another object side by side with it implies that it is reality to which the *object* is somehow adjective or subordinate. As, however, there would be no sense in saying that the object is a quality of the beauty, the adjectivity of the object here has to be recognised as a peculiar relation—the relation of the symbol to the symbolised, an analogue in the sphere of feeling of the logical relation between a word and its meaning.

10. Aesthetic enjoyment thus stands on a level higher than ordinary sympathy which again constitutes a level higher than primary object-feeling. The artistic sentiment may in some cases be literally taken as sympathy with sympathy. I may , for example, enjoy contemplating an old man affectionately watching his grandchild playing with a toy. Contrast here the child's joy in the toy with the grand-father's sympathetic joy and this again with my contemplative joy. Although the old man is not immersed like the child in the enjoyment of the toy, his feeling is not yet of the artistic character: it is still a personal selective interest in the particular child and his feeling. My contemplative joy has no such personal complexion. I am interested in the child's feeling reflected in the grand-father's heart as an eternal emotion or value. I enjoy the essence of the

emotion, get immersed in it even like the child in the toy, without, however, being affected by it and thus losing my freedom. I no longer feel the distinction between my feeling and the child's feeling, as the old man does between his feeling and the child's feeling. My personality is, as it were, dissolved and yet I am not caught in the object like the child. I freely become impersonal.

11. In the above example, my aesthetic enjoyment is feeling for another actual person feeling for a third actual person. But one or both of these persons sympathised with may be imaginary. Consider a case where the second person is imaginary. I may aesthetically contemplate a poor waif in the street. The waif is beautiful to me not as a dirty child but as it may be somebody's darling. I contemplate what the child would be to its mother, had she been living. The mother is here an imaginary person. A case in which the third person is imaginary would be where I contemplate a mother treasuring up the toys of her child who is no more. She sees the same value in the toys as though the child were living and playing with them. The child is here the imaginary person but the mother's emotion is still actual or personal and it is to me alone who contemplate the emotion a beautiful theme of art. Again both the persons are imaginary when, for example, I comtemplate a character in a drama. The character is here the imaginary third person or primary subject; but who, it may be asked, is the sympathising second person?

12. There is a difference between imagining an object as actual and imagining it as imaginary. In the former, the object is imagined as presented to an actual feeling* of the person imagining as, for example, a savoury dish imagined by a hungry person. In the latter, the feeling bodying forth the image is itself imaginary: the object is imagined as what would be imagined by another person having the actual feeling. Now the character in the drama is not imagined by me as an actual person: I imagine some one imagining the character as an actual person and I sympathise with this imaginary 'some one' as the second person. The imaginary second person is not one particular person but *some one* or *any one* parson. He has the value of a concept of a person in general: only here we have in the concept an efflux of feeling and not of the intellect. This person is felt—not thought— by me who am aesthetically contemplating. The felt-person-in-general may be semi-mythologically called the Heart Universal. Every feeling that is

depicted in art is contemplated as reflected in or sympathised with by this Heart Universal and the person who contemplates the feeling Iherges his personal or private heart in this ubiquity. Artistic enjoyment is not a feeling of the enjoyer on his own account; it involves a dropping of self-consciousness, while the feeling that is enjoyed—the feeling of the third person —is freed from its reference to an individual subject and eternalised in the Heart Universal.

13. Can we keep up the scheme of three persons or three grades of feeling—contemplative, sympathetic and primary—in the case of the enjoyment of the beauty of a natural object ? Here also we may take the second and the third persons as imaginary and implicitly intervening between the contemplator and the object. Only here the third person is evanescent—some person rather than a particular imaginary person like the character in the drama spoken of. When I appreciate the beauty of a natural object, I imagine in the first place a particular primary feeling —say, joy or sorrow or fear—according as the object has a joyous or melancholy or fearful expression. This feeling is imagined as the feeling of 'some one', of an indefinite third person. The in-definiteness here, like the conceptual character of the second person referred to, is felt and not thought. It implies that the third person is indifferent to me: I am interested less in him than in his feeling. This feeling is next idealised by being contemplated as felt by or reflected in the second person—the Heart Universal. Lastly, I, the first person, feel this idealised feeling as my direct object.

14. Is this an artificial analysis ? We have indicated that the beauty of an object does not appear as a mere fact—a quality of the object like its colour but as an expression or value. The expression, however, unlike the reflex of a primary feeling, is not seen as one with the object or adjectival to it but as floating on it or as irradiating beyond it. At the same time it is not presented like the reflex of a sympathetic feeling as an expression 'in the air': it is to aesthetic feeling a real eternal value. The beauty of an object, thus, implies three characters distinguishing it from mere fact—expression, detachment from the object and eternity. These three can only be understood in the object as the respective projections of primary feeling, sympathetic feeling, and contemplative feeling. The feelings have to be understood as the feelings of three persons who may, however, all be in one person, viz., the aesthetic enjoyer in three different emotional levels at the same time. Since

the last grade of feeling comprehends the other two, we have taken aesthetic enjoyment as not merely a feeling among feelings but as the feeling *par excellence*.

15. The conception of rasa or aesthetic essence may thus be interpreted entirely in terms of feeling, without any reference to the intellectual Idea or the spiritual ideal. We have indicated the place and significance of aesthetic joy by determining the level or grade of feeling to which it belongs. A further elaboration is necessary to bring out the distinctive flavour of the Indian concept. Artistic enjoyment is conceived not merely as *free* from the entanglement of fact but as the *realisation* of an eternal value, as an identification with the aesthetic essence without loss of freedom . What is the precise sense in which this realisation or identification is understood? To answer the queston, we have to consider first certain features of primary feeling and. sympathy.

16. We have pointed out that in a primary feeling—say, sensuous enjoyment of an object, the distinction of feeling and the object is obscured: the object gets an expression and the feeling loses its subjective detachment. Yet the confused unity of the object-immersed feeling has two alternative directions, the objective and the subjective. In the objective direction the self-feeling lapses: the object alone is perceived as with the expression adjectival to it. But the subject need not be in the perceiving or objective attitude; it may retain the feeling-attitude, while the object perceived gets indefinite and melts away, much as to a drowsy person the fixed world appears to swim and shimmer away into nought. This would be the subjective direction. Instead of the subject forgetting itself in the object, we have the object here getting dissolved in the subjective feeling. To understand it, we have to remember how in respect of an object in one's clasp, there is a difference between trying to enjoy it and actually enjoying it. When one is only trying to enjoy, the feeling has indeed begun; but there is a constant sense of not being able to enjoy, of the object refusing to be enjoyed, to melt into the feeling. This tantalizing experience constitutes the unreal character that attaches to the incipient feeling. To successfully enjoy, to have the object dissolved in one's feeling, is to get rid of the felt unreality. The feeling here becomes subjectively real: it stands by consuming the object.

17. Two forms of sympathy may be distinguished corresponding to these two directions of object-feeling. Although in sympathy, the distinction between the sympathiser and the person sympathised with is never lost, the two subjects do not simply stand side by side. The sympathiser either feels through the other person's heart or feels the other person within his own heart. In the former case I feel *out* towards the other person, feel my detachment from him to be an evil, seek to forget myself, to feel as though I were the other person feeling and to become the other person in this sense. In the latter case , I feel my sympathy with him to be unreal so long as the other person is foreign and his feeling a more fact which I cannot feel as mine. In the former I resent my detachment, in the latter his foreignness. In both I strive to feel freedom; in the former by expanding, by pro-jecting myself outwards and in the latter by assimilating or drawing in, feeling his feeling as mine. We may accordingly call these the projective and the assimilative types of sympathy.

18. Similarly the identification with the object in the aesthetic enjoyment has two alternative directions—the projective or creative direction and the assimilative or abstractive direction. What is enjoyed in the object is its beauty which we have taken as an eternal self-subsisting value to which the object is related as a symbol. The symbolising function in the aesthetic sphere is of two kinds. The object that is the symbol may retain its definite character of fact and express a value as its transcendent signi-ficate, or its fact-character may get evanescent while the value symbolised gets defined out as a subtle spirit-form, as a dream floating in the ether of the heart and nowhere in space and time. Either way the enjoyer identifies himself with the eternal value. But whereas in the former he enters into the object freely, over-comes its opacity and sees himself as the soul of it, the heart of its reality; in the latter, he dissociates himself from the object as mere fact which accordingly tends to dissolve, to have its hard outlines softened away, and feels rather than sees the soul of it freeing itself and merging in his enjoyment. In the former, the feeling becomes objective but does not get entangled in the given fact: it transfigures the fact into a value. In the latter, the detachment of the subject does not imply a feeling of unreality: the value or soul of the object is drawn out as it were and reposefully enjoyed. In the former, there is freedom in spite of enjoying contact: and in the latter, enjoyment or reality in spite of detaching freedom.

19. Indian art is prevailingly abstractive or contemplative in character and not dynamically creative: and in the Indian theory of art, the aesthetic essence is conceived as a subjective absolute or rasa rather than as an objective absolute or beauty.

II

THE BEAUTIFUL AND THF UGLY

20. In the previous part, I did not distinguish between the feeling for the beautiful and the feeling for the ugly. I was concerned there mainly with the general level or grade to which both these feelings belong. In the present part, I have endeavoured to bring out the specific nature of the feeling for the ugly and the varying aesthetic values of ugliness as an objective expression.

21. As in the previous part, so here I rule out the question as to what there is in the object that makes it appear beautiful or ugly. Formal characters like symmetry or unity in variety, such as are ordinarily spoken of as constituting beauty, are not only inadequate for a definition but appear to presuppose the aesthetic feeling from which they derive their specific meaning. For one thing, an important element of beauty is subjective association: the objective formal element is not all. Besides, what does symmetry or unity in variety mean? Any geometrical symmetry is not beautiful: what particular symmetrical form is beautiful depends on the intuition of the artist and thus presupposes the artistic feeling. Similarly as to unity in variety: it all depends on what the artist *feels* to be the satisfying unity. The formal characters in their generality, apart from the particularising feeling of the artist, mean almost nothing. Certain forms in certain contexts may indeed appear beautiful in many cases, though not in all cases. This, however, is a matter of technique which is but a summary of particular artistic experiences. A general theoretic discussion of the objective characters of beauty and ugliness appears to me, therefore, to be unprofitable. Not that I deny that there is something in the object that determines the aesthetic feeling. I believe. in fact, that the aesthetic attitude does not create but only discovers beauty or ugliness, and that while an object that appears indifferent to others has an aesthetic value to one already in the attitude, there are objects which perforce induce the attitude in many souls, if not in all. At the same time I hold that the objective aesthetic quality cannot be discovered except through the aesthetic feeling, that it is only by this feeling and not by any merely intellectual investigation that we

can analyse beauty or ugliness in the object, and that the analysis can only be of a piecemeal character in the form of particular intuitions and can never be exhausted by any objective formula. So, as in the previous part, I confine myself here to an analysis of the mental attitude.

22. All feeling implies an identification of subject and object. Contrast the thought of an object with the feeling of it. The former implies a detachment from the object, the latter an intimacy with it. To thought, the intimacy appears to be a confusion, while to feeling the detachment means inanity or unreality of the subject. The subject feels itself real when it is filled with the object, when it feels the object united or identified with itself. What to thought is but a confusion is to feeling a real identity.

23. Identity with the object is felt in all feeling. Is distinction from the object also felt ? Not in the grade of primary feeling. In some sense, indeed, all feeling of pain is a feeling of distinction between subject and object, but in the grade of primary feeling, the distinction is not explicitly felt as such. In the grade of sympathetic feeling, the distinction from the object of the feeling sympathized with is explicitly felt while the identity continues to be felt with the primary feeling. The two attitudes, however, do not enter into any relation in this stage: the feeling of identity here is only implicit and is completely merged in the explicit feeling of difference. In the contemplative feeling, both the feelings of identity and difference are explicit. The subject freely merges into the object and the object tends to get dissolved in the subject. That is the identity. The object gets idealised into a standing expression, into a sort of objective mind and the subject feels real in joy by consuming the object. At the same time the feeling of identity is a process. There survive aspects of the object which stand out un-idealised as full fact and there is a persistent sense of not being able to enjoy along with the joy that has begun The feeling (as un-idealised fact) of the inability to enjoy is the feeling of distinction between subject and object. It is still a feeling on the aesthetic plane because it would not arise but for the idealisation or enjoyment, the identity that is already felt.

24. If the feeling of identity be called enjoyment, the feeling of difference may be taken as a pain, both the feelings being on the artistic or contemplative level. Now enjoyment and pain cannot simply stand together side by side: one is subordinated to the other, subordination being a unique relation in the sphere of feeling. When the pain is subordinate to the

enjoyment, we have the feeling of beauty. Where the enjoyment is subordinate to pain, there emerges the feeling of ugliness and its congeners.

25. To explain. Take the artistic contemplation of sorrow. A well-told tale of sorrow moves one to tears, who yet gets exquisite enjoyment out of it. The pain is here subordinate to the enjoyment. The pain is still explicitly felt and felt in fact more exclusively, though not, it may be, more intensely than by the primary subject of the sorrow. Sorrow to the primary subject has its distraction and has, more often than not, an admixture of other and sometimes quite incompatible feelings such as the subject may be ashamed to confess. But the contemplative subject is absorbed in the sorrow in its purity, stripped of all its accidents. That does not mean that he contemplates the mere feeling of sorrow and has no interest in its objective setting: that would be only logical abstraction. He contemplates the setting also—such circumstances as bring out the feeling and are suffused with the feeling-value, though there is a difference still between the centre of interest and the setting like that between a flame and its halo or irradiated light. But the primary subject of sorrow has not only the sorrow and its aesthetically relevant setting presented to him but also other feelings and objective circumstances along with them which have no affinity of tone with the sorrow. These are what I call 'accidents'. The aesthetic enjoyer contemplates the painful feeling of sorrow stripped of such accidents. To aesthetically realise or contemplate a person's sorrow is to *feel* the *sorrow*, not to think it, though it is to fed it as a pure eternal value such as the person himself is not pri-vileged to feel. I say 'privileged', because though the sorrow is a more exquisite or penetrating (though not more intense) pain to the contemplator than to the primary subject, the former does not in the feeling lose his freedom like the latter, but feels himself more real as a spirit through the pain than if he. did not experience it. So even where the pain is not itself artistically enjoyed, it is no mere evil to be avoided: its purity and depth are in themselves a spiritual value.

26. But the artistic contemplation of sorrow is an enjoyment. The sorrow is felt as an exquisite pain but it is still the object of the enjoyment and in this sense subordinate to it. As a felt object it is one with the enjoyment, turned into it, transfigured . As an object of contemplative feeling, it is still distinct, the sorrow continuing to be felt in its purity within the enjoyment. This relation of 'within' or subordination has only to be accepted as a

matter of experience; it can only be explicated, not disputed . So any kind of primary feeling in its purity may be the object of enjoyment and subordinated to it; when the primary feeling is itself an enjoyment, it is completely merged in the contemplative feeling, merging being the limit of subordination.

27. But while any feeling may be subordinated to aesthetic joy, it *need* not be. That depends, so far as the subject is concerned, on the depth of his artistic realisation. Potentially, I believe the artistic spirit can swallow and assimilate every kind of feeling, subordinate the most refractory of feelings to itself, transmute all painful feelings into enjoyment. As a matter of fact, however, it cannot or does not in many cases transmute the presented feeling : it lacks either the energy or the transparency of the soul requisite for it, this being entirely a matter of inborn gift or previous discipline. Artistic feeling represents a new depth of the spirit: contemplative level is deeper than the level of primary feeling or sympathy. But there are varying depths within the contemplative level and a primary feeling which stands out untransmuted in one grade of aesthetic feeling may be transmuted into joy in a deeper grade. Where a primary feeling presented to the aesthetic attitude is not assimilated, the joy of the attitude is present but gets subordinated to the presented feeling. The presented feeling is here a pain, a feeling that emerges in the joyous aesthetic attitude as distinct from it. So in the artistic contemplation of sorrow just considered, the sorrow is presented as distinct, as a pain to start with. But the pain is there the object of the joy while in the present case the joy is the object of the pain. The joy of the aesthetic attitude is here itself a torture which lends a new value to pain. But for the joy, in fact, the pain would not take the form of disgust. That is the sense in which I understand the subordination of enjoyment to pain. When the aesthetic feeling, unable to assimilate a presented primary feeling, gets thus subordinated to it, it turns into the feeling of ugliness. The implications of this account of ugliness have to be brought out. The primary feeling is here present to the aesthetic feeling. That means it is raised to the contemplative grade,, stripped of accidents, isolated in its purity. A fact viewed in the scientific or practical attitude is neither beautiful nor ugly. It is only when it is aesthetically contemplated that it appears beautiful or ugly. When so contemplated, the fact as such retires into the back-ground and its expression or value as due to a primary feeling comes into prominence, this being viewed through the double medium of sympathy, as

indicated in the previous part. The primary feeling as presented to the aesthetic attitude is thus itself turned into a contemplative feeling.

28. Next this contemplative feeling enters into a relation with the aesthetic feeling to which it is presented. The aesthetic attitude is in itself a joy, not merely an expectation of joy: it is joyous expectancy waiting to turn by its alchemy any new experience into joy. But the alchemy may not be potent enough. The new experience may be refractory and then the joyous expectancy is turned into bitterness or disgust so that the refractory experience gets an extra painful value, viz., the repulsive or disgusting value. The experience itself as a contemplative presentation is not repulsive: it is so only because of there being baffled expectation of joy.

29. When repulsion is thus felt on the contemplative level, there are many alternative ways in which the spirit saves itself. The contemplative attitude may be withdrawn altogether and there may be a simple relapse to the normal practical attitude. Or it may happen that the spirit keeps on the contemplative level and the artistically refractory experience is side-tracked into contemplative channels other than the artistic. Received first in the artistic attitude as an un-welcome kill-joy, the experience may be presently draped off for philosophic or religious contemplation . The aesthetic expectancy is retracted but the spirit may be overborne by the hideousness of the world. The ordinary spirit is not artistic enough to stand ugliness for any length of time, to maintain the joy of the aesthetic attitude while either shaking off the repulsive experience or transmuting it into joy with the patience and faith of a courageous love. Yet there are spirits where joy is too deep to be killed by a repulsive experience and whose artistry is potent enough to evolve a beauty rich and strange out of presented ugliness. The aesthetic attitude survives the feeling of ugliness in two ways. It may, in the first place, turn into the feeling of the ludicrous which is just the joy of detaching oneself from or shaking off the repulsive experience. The feeling of ugliness is itself a contemplative feeling but the artistic spirit may retire to a deeper level and rejoicingly contemplate the ugly in an attitude of superior detachment. It rejoices either in having eluded its touch and in being able to watch it from a secure distance or in the sense of power to blow it away and turn it into thought—I mean the explosive power of laughter, these being the two directions of the feeling of the ludicrous. The other aesthetic attitude in which ugliness can be negotiated is what I have

characterised as the patient faith of courageous love. The faith that the ugly can be transmuted into beauty is familiar enough in the artistic sphere. It is in fact what makes aesthetic education possible . No one will condemn more than the artist the conceit—which is unfortunately common to-day—that refuses to admit the need of educating the taste and the possibilities of realising what immediately appears ugly as beautiful through such education. It is this faith then that sustains what we may call aesthetic effort —the effort to deepen the feeling of ugliness into an enjoyment, to perceive the immediately ugly in its infinite setting and thus to realise it as beautiful. During the effort, the ugly remains ugly but becomes tremulous with the shimmer of expectant delight; the faith becomes objective as the suggestion of a beauty that is not yet manifest. And then as the aesthetic faith turns into vision and attainment, there emerges a Beauty Triumphant in which ugliness is itself realised in its quintessence as an object of enjoyment. This enjoyed quintessence of ugliness is just what Indian aesthetic daringly recognises as a rasa viz., the blbhatsa-rasa. Such recognition does credit to the virility of Indian art and to the Indian theory of art.

RASA: POETRY AND THE EMOTIONS

Because the object of this study is to approach literary theory centrally from the standpoint of the concept of *rasa*, it would be appropriate to begin by elucidating the meaning and scope of that term. As a general theory of literature, the *rasa* doctrine (*rasa-vāda*) is based on two premises: (i) that literary works, as verbal compositions, express emotive meanings and (ii) that all literature is typically emotive discourse or discourse that has to do with the portrayal of feelings and attitudes rather than with ideas, concepts, statements of universal truths, and so forth. The second premise relates to the problem of defining literature and will be taken up in chapter 3. But the first premise raises a host of philosophical questions. What kind of entities are the emotions, and what is their objective or ontological status? How are they recognized? How do they get expressed in words? If emotions can be expressed in language, what precisely is the sense in which they are said to be "expressed"? Where are the poetic emotions located, and what is the mode of their existence? Do they exist in the poet, in the reader or spectator, or, in some mysterious way, in the poem itself? These and other related questions, which have to be answered before our theory can be established on a sound footing, will be the concern of this chapter.

Rasa is the most important concept in Sanskrit criticism and one that is central to all discourse about literature. As we shall see, it also influenced the theories of dance and the visual arts as well. As a critical term, *rasa* is multifaceted and presents problems of translation. However, in its most basic sense, it means "aesthetic relish"[1] and comprehends two related ideas.

First, *rasa* is the relishable quality inherent in an artistic work—which, according to Bharata, the first known formulator of the *rasa* theory, is its emotive content. Every work—poem or play—is supposed to treat an emotive theme and communicate a distinct emotional flavor or mood, such

as the tragic, comic, erotic, and so forth. In this sense, one can speak of the *rasa* of a work and also, since there are many such moods, of poetic or dramatic "moods" or "emotions" (to use these terms interchangeably)—of *rasas* in the plural. A distinction is also made between the common human emotions treated in the poem—which are termed *bhāvas*—and the art emotion or *rasa* that emerges from such a treatment, the assumption being that the raw stuff of the emotions presented as undergone by characters in a play or by the speaker of a lyric poem is transformed in the process into a universalized emotion and rendered fit for a contemplative enjoyment. Thus, every emotion treated in the poem is said to lead to or yield a corresponding aesthetic mood. I will not press this distinction here since the emotion treated in the poem and its resultant aesthetic state are qualitatively the same: that is, if a play deals with the tragic emotion, the aesthetic mood generated by it will also be tragic, although transformed in the way indicated. In any case, as we shall see in chapter 9, this transformation is in the way the work is apprehended rather than an ostensible feature of the work itself.

In the second sense in which the term is understood, *rasa* is the relishable experience occasioned by the work in the reader or spectator—which we may refer to as the "*rasa* experience." I shall therefore use the term *rasa* in both these senses, as the context requires, but most generally to signify "the poetic emotion." Where a distinction between types of meaning is implied, I shall translate the word as "emotive meaning."

Thus, although *rasa*, as originally propounded by Bharata, was purely an aesthetic concept, it has, through the centuries, been absorbed into theological discussions and consequently become strongly tinged with the language of one or another of the metaphysical cults. Bharata's commentators themselves sought, from time to time, to give a metaphysical twist to the *rasa* theory. Thus, Bhaṭṭanāyaka, who wrote under the inspiration of Sāṃkhya and Vedānta, attempted to spiritualize aesthetic experience in describing it as a blissful state of mind, comparable to the enjoyment of Brahman. He thought of drama as a means to the realization of the highest goal of life, namely, spiritual emancipation (*mokṣa*). The attempt to apply Hindu transcendental theories to aesthetic criticism is also seen in Abhinavagupta's definition of *rasa* as a supramundane (*alaukika*) experience, quite distinct from ordinary modes of knowledge.[2] This

metaphysicized account of *rasa*, which came to be known as *rasa-brahma-vāda*, became the standard explanation of that concept in the manuals of poetics. With the rise of the devotional schools in the medieval period, the *rasa* concept received an out-and-out religious interpretation. The Vaiṣṇava mystics of Bengal offered a completely revamped theory of *rasa* and sought to deify poetic emotion by making it a form of god realization. The modern Indian exponents of the subject, the most influential among them being Coomaraswamy, have also contributed to the general impression, prevalent in the West, that the aesthetics of the Hindus is but an extension of their mystical speculations, that it is a "theological aesthetics." For Coomaraswamy, the *rasa* theory is "essentially metaphysical and Vedantic in method and conclusion."[3] Coomaraswamy is not alone in connecting the *rasa* theory with metaphysics. K. C. Pandey, in his volume on Indian aesthetics, reads Abhinavagupta's theories in the light of Kashmir Śaivism.[4] He observes that, in Abhinavagupta's transcendentalist view, aesthetic contemplation becomes a form of meditation on the Self itself, in which, with all objective reference suspended and the aesthetic object disappearing from view, the Self rests in its own luminous consciousness. The art object becomes thus a mere focus for meditation. *Rasa* is the experience of the Self itself as pure and unmixed bliss.[5]

Abhinavagupta's language no doubt lends itself readily to this kind of interpretation. The influence of the metaphysical doctrines is also unquestionably present. It seems that, in his anxiety to secure for aesthetic experience a unique status, Abhinavagupta needlessly subtilizes the concept of *rasa*. His attempt to expatiate on the mysticism of aesthetic enjoyment would seem unnecessary because it does not help the practical business of criticism. But, despite the transcendentalist vocabulary, neither Abhinavagupta nor the other exponents actually seek to subsume aesthetics under theology or illuminist metaphysics of one brand or another. Again, although these critics tend to describe *rasa* experience in mystical terms, they never fail to seek validation for their theories at the logical, phenomenological level and to secure for criticism an objective aesthetic basis. Paradoxical as it may seem, the metaphysical preoccupation of these critics does not hurt their aesthetics. For, whatever the metaphysical or religious values aesthetic experience may be supposed to afford to the spiritual aspirant, the doctrine of the *rasas* or dramatic emotions, as

originally enunciated by Bharata and expounded at length by Anandavardhana and Abhinavagupta, takes its stand squarely on the material, instinctual nature of man. Abhinavagupta himself is quite explicit in pointing out that *rasa* experience is distinct from religious attitude or Yogic experience.[6] Poetry (*kāvya*) is simply a dramatization of human emotions and is of the form of pleasure and pain.[7]

It should therefore be recognized that *rasa* is not an esoteric doctrine but, as I hope to demonstrate, a strenuously argued theory of the nature of poetic discourse and much more respectable critically than it is often taken to be. Reduced to its simplest form, the *rasa* theory states that the aim of poetry is the expression and evocation of emotions and that a poem exists for no other purpose than that it should be relished by the reader.[8] Aesthetic experience is this act of relishing or gustation (*rasana*). The object that induces this experience in the reader or spectator is a *rasa-kāvya*—a work that manifests *rasa*. In other words, the poem arouses certain feelings in the reader because it is itself the concrete objectification of those feelings. Thus, it is assumed that the *rasa* apprehended by the reader is the *rasa* manifested by the poem.

The idea that poetry expresses emotions and moves us is not of course new to Western criticism. It is implicit in Aristotle's *Poetics*, in the Greco-Roman rhetorical tradition generally, in Longinus particularly, in Romantic expressionistic aesthetics down to Croce, and in such modern critics as Richards and Eliot. But the Western prejudice against emotions in poetry, too, is as old as Plato and the Puritans. Traditionally, Western criticism has reflected a division of loyalties between the opposite principles of *dulce* and *utile*, so much so that a complete aesthetics of the emotions was not possible unless it was also justified by moral, cognitive, or philosophical values. This is true even of Aristotle. In the Indian tradition, on the other hand, one finds a more consistent and systematic theorizing about poetry in terms of the emotions and an attempt to explain the whole area of poetic semantics as well as aesthetic psychology centrally from the standpoint of the emotions.

The emotive theory was not by any means the only theory to be advanced by the classical Sanskrit critics. Sanskrit poetics had its school of metaphor (*alaṃkāra*), which thought of figurative or deviant expression as the special characteristic of poetic language, and its school of style (*rīti*), which

believed that a special arrangement of words, of phonetic and syntactic features, constituted the essence of poetry. Then there was the most influential school, that of suggestion (*dhvani*), led by Ānandavardhana, author of the classic *Dhvanyāloka* (The light of suggestion), and his commentator Abhinavagupta. This school argued that poetic indirection was a special, supernumerary activity of words, outside both literal and metaphoric functions. While these two critics advanced a novel theory of suggestion, they were also responsible for developing Bharata's doctrine of the emotions, which Bharata himself applied mainly to dramatic literature, into a unified theory of poetry. At their hands, the concept of *rasa* became the central criterion of poetic semantics; it subsumed even the principle of suggestion.

A few other preliminary remarks will be necessary for a correct understanding of the scope of this theory and of its basic assumptions. The *rasa* theory implies that there are a number of specific emotions, each with its distinct tone or flavor, and not an anonymous aesthetic emotion or a host of nameless emotions. Poetic works are not merely emotionally charged in some vague sense like music or nonrepresentational painting, but they treat a specific number of emotions as their subject matter. Psychic states, attitudes, and reactions are the stuff of poetry, their representational content. As Bharata said, "Drama is the representation of the mental states, actions, and conduct of people."[9] Thus, Bharata lists as many as forty-nine emotional states (*bhāvas*), of which eight are primary or durable states (*sthāyins*), with their corresponding *rasas* or aesthetic moods; thirty-three are transitory states (*vyabhicārins);* and eight are involuntary expressions, like tears, horripilation, trembling, and so on, which are also thought to be mental states even though they appear as physical conditions. The eight basic emotions are erotic love, comic laughter, grief, fury, heroic spirit, fear, wonder, and disgust or revulsion. Only these basic emotions can be developed into distinct aesthetic moods, whereas the other, transient emotions come and go according to their affinity with the durable emotions. Later commentators, however, added a ninth emotion to Bharata's list of eight basic states, namely, subsidence or serenity (*śānta*). The final number of basic emotions in the *rasa* tradition is therefore taken to be nine.[10]

This theory of poetic emotions is, again, a theory mainly of poetry in its broadest, Aristotelian sense, not a general theory of the arts. For the

language of the emotions best suits poetry, which is a representational art. No doubt, Bharata, in his *Nāṭyaśāstra*, assigned specific emotional or suggestive values to musical notes (*svaras*) and melodic patterns or *jātis* (later called *rāgas*) when they were used in stage presentation for evocative purposes. But there is no suggestion in Bharata that the musical notes by themselves express any particular emotions.[11]

A *rāga* is so called because, etymologically, it produces a mood, albeit in a vague way, or is colored by it. Any given *rāga* may be adapted to a variety of moods. A *rāga* can become the vehicle of a mood when it is employed in an expressive context, when, for instance, a lyric is set in a *rāga*. It then takes on the feeling tone of the meanings of the verbal text with which it is combined. But it cannot be said to express or signify that feeling as its subject matter, its referential content. Nor is a *rāga* sad, joyful, arousing, depressing, and so on in itself, in the sense that it possesses those qualities; it is felt to be so only in association with meanings that are sad, joyful, and so on. Therefore, melody is related to the meanings of the song, not as an expressor (*vācaka*), but as a suggestor *vyañjaka*), in the sense that, when music is combined with the words of the song, it somehow seems to become fused with the meaning and evokes the very mood that is conveyed by the meaning. Both Ānandavardhana and Abhinavagupta recognize that musical sounds too can be suggestive of *rasa* in this way, although they are nonmeaningful or nonexpressive *avācakaśabda*). Abhinavagupta states explicitly that the power of conveying *rasa* inheres only in the expressive situation of the play or poem.[12]

Indian dance is no doubt predominantly expressive and expository and is employed largely in dramatic or narrative contexts to interpret through gesture the theme and mood of the accompanying song. The elaborate language of hand gestures (*mudrās*), glances, and body movements, which are the paraphernalia of Indian dancing, is designed to enact the mood of the song as well as translate into the visual medium the meanings of the verbal text. The great emphasis placed on *abhinaya* or gestural enactment is a clear indication of the influence of the *rasa* concept on Indian dancing and on playacting as well. Bharata dealt with both dance and music in connection with drama, and so both these arts were for him natural adjuncts of the theater and vehicles of dramatic expression. *Rasa* is no doubt conveyed directly by the verbal meanings of the drama or song, but music,

both vocal and instrumental, and dance are valuable aids to mood building in any stage performance. Indian dance is composed of two distinct elements: gestures, including facial expressions, hand and leg positions and their movements, gaits, and stances; and pure dance movements consisting of footwork, poses, and rhythmic movements of hands and legs in combination. Of these, gestures directly express feelings and other mental states, as they can be understood as signals or indicative signs of inner states. Even the pure dance movements are described by Bharata and by subsequent writers in terms of their uses in appropriate expression contexts.

But Abhinavagupta points out that pure dance movement must be distinguished from dramatic expression proper. Dance is a gestureless movement of hands and legs based on rhythm (*tāla*) and tempo (*laya*), whereas dramatic enactment (*abhinaya*) is a gestural interpretation of verbal meanings and their concomitant emotions (*bhāvas*) through the visible physical medium of facial expressions and body movements. Dance consists in transcribing the musical patterns into corresponding patterns of bodily movements. Although it may sometimes form part of an expository situation—drama or song—it is not dependent on the verbal meanings as it flows directly from the rhythm of the song. Moreover, it need not necessarily accompany a song, for there could be a dance based on instrumental music or simply on the sounds of drums. Thus, it is related neither to the meaning nor to the emotions expressed by the song. Emotions are expressed either through speech (*vācika*) or through physical gesture (*āṅgika*). In both forms, there is the notion of an expresser (*vācaka*) and an expressed content (*vācya*). But, in dance, there is no direct apprehension of a cognitive or narrative content.

This was also the view established by Bharata against the contention of those who held that even pure dance movements can be expressive of meanings and that emotional experiences can express themselves directly through rhythmic movements.[13] Bharata says, "Dance (when it is employed in drama or song) is occasioned by no specific need except that its use adds to the beauty (of the presentation)."[14] Abhinavagupta admits, however, that dance can become a vehicle of *rasa*, even as music is, even though it is not directly expressive of it. He explains, "*Rasa* is manifested by dramatic action (*nāṭya*); but the dramatic action itself arises from the play or song (that is, from the meanings of the verbal text) which is expressive of *rasa*.

And, as a dance, introduced in the context of *rasa*, becomes the means of its evocation, it also acquires a dramatic quality."[15] It is thus established that both dance and music are formally different from any mode of expression that has to do with the objectification of emotions. Whatever emotive values they acquire can be attributed to their use in specific expression contexts.

The relation of the *rasa* doctrine to the arts of painting and sculpture is, however, more intimate since these arts are understood by the ancient Indian writers as being essentially representational. According to the *Viṣṇudharmottara Purāṇa*, painting and sculpture, like expressive dance, "reproduce all that is the object of experience in the three worlds." They employ the same eye expressions, hand gestures, and body postures that are found in dance. Expressiveness is considered to be the very essence of image making. Even as one speaks of the dramatic emotions (*nāṭya-rasas*), one can also speak of the *rasas* expressed in painting or sculpture (*citra-rasas*).[16] Emotion (*bhāva*) is thus accepted as one of the criteria of painting, together with symmetry, similarity, proper disposition of colors, and so on.

Yet there will be objections to an emotive theory of poetry from the point of view of the formalist critic that must be answered before *rasa* can be established as a valid critical theory. As is well known, modern criticism, especially Anglo-American criticism, has, with its strong scientific bias, moved away from all affective theories and emotive vocabulary to an almost uncompromisingly objective, formalistic approach to art. It believes in isolating the poetic object as a unique entity and fixing the focus hard on its objective, demonstrable features. In this view, theories that are based on either the psychology of composition or the reader's affective responses would not be valid theories of criticism. But this objection cannot be leveled against Sanskrit poetics, which, like its classical counterpart in the West, was predominantly an empirical, rhetorical tradition, showing no interest in the author's personal psychology or in the psychology of the creative process. Rather, it addressed its inquiry to the finished product and to the nature of the effects it produces on the reader. Thus, it avoids the personal and genetic heresies, against which the New Criticism in the West has rightly revolted.

Sanskrit poetics also avoids the pitfalls of the various transcendental revelatory theories associated with Romanticism and traceable largely to Platonic and neo-Platonic doctrines as well as to the Hebraic-Prophetic

tradition. Theorists in this tradition believe that the artist has a vision of a reality hidden behind the appearance of things and makes the revelation of this vision the object of his art.[17] The trouble with this view is that the critic has no means of knowing this vision of ultimate reality except through the work itself and that, when he does come to know about it, he cannot ascertain whether it has been faithfully reproduced or embodied by the work. The Sanskrit critics speak of art as an object of enjoyment rather than as a medium for transmitting inspired visions of ultimate reality. Although for them art occasions a supernal delight, its matrix is the common stuff of human emotions. Aesthetic experience is simply the apprehension of the created work as delight, and the pleasure principle cannot be separated from aesthetic contemplation. This delight is regarded as its own end and as having no immediate relation to the practical concerns of the world or to the pragmatic aims of moral improvement or spiritual salvation.[18] Sanskrit theory is thus opposed to a didactic, hortative view of literature. Abhinavagupta declares that poetry is fundamentally different from ethics or religion and that the principal element in aesthetic experience is not knowledge but delight, although poetry may also lead to the expansion of our being and enrich our power of intuition.[19]

Nevertheless, this preoccupation with emotions and with affective experience rather than solely with the formal properties of the work makes the *rasa* theory vulnerable to the charges of expressionism and psychologism. The language of emotions and all expressionistic doctrines, stemming mainly from Romantic philosophy, has been under attack in recent years, especially from the followers of Wittgenstein. People as diverse as Susanne Langer, Clive Bell, T. S. Eliot, Middleton Murry, Yvor Winters, Northrop Frye, and F. R. Leavis have all been found to be tainted in some degree by the sin of expressionism.[20] The expressionistic doctrine corresponds to the earlier picture theory of language propounded by Wittgenstein in his *Tractatus* and rejected by him later in *The Philosophical Investigations* in favor of his theory of language games.

The whole problem concerning the language of poetic emotions centers on the question, Can emotional qualities be tested as they are normally taken to reside in the subjective experience of the writer or reader? The answer to this question hinges on our being able to describe the connection between the work of art and the feeling in such a way that one can locate

the feeling in the work of art itself and, in a sense, make it testable.[21] The approach in the light of Wittgenstein's logic seeks to avoid the dangers of both expressionist and affective theories by locating the feelings squarely in the work of art itself instead of imputing them to any actual person, artist, or observer. It does not evaluate the work either by inquiring whether it has faithfully expressed the author's alleged feelings or by examining its effects on the minds of the audience. The feelings we find in the poem or play are objective qualities present in the work. They are not the feelings of anybody in particular; they are just feelings defined by their objects and situational contexts. The language of feelings is not then a private language; it is more a system of symbols, a language game that is understood by those who have learned its conventions and usages.

But this objective emphasis is, in fact, quite congenial to the Indian theorist. The *rasa* theory itself, as formulated by Bharata in his *Nāṭyaśāstra*, deals with the emotions in an entirely objective way. In his famous *rasa sūtra* (formula), Bharata explains how emotions are expressed in poetry: "Emotions in poetry come to be expressed through the conjunction of their causes and symptoms, and other ancillary feelings that accompany the emotions."[22] Here Bharata stipulates three conditions or situational factors that must be present together for an emotion to become manifested: (i) that which generates the emotion, which includes (*a*) the object to which the emotion is directed (i.e., the intentional object, *ālaṃbanavibhāva*), for example, Juliet, and (*b*) other exciting circumstances (*uddīpanavibhāva*), for example, youth, privacy, moonlight, etc.; (ii) the overt expressions (actions and gestures) that exhibit the emotion, called *anubhāvas*, for example, tears, laughter, etc.; and (iii) other ancillary feelings, such as depression, elevation, agitation, etc., that normally accompany that emotion. The object, thus set forth by Bharata, of representing the various emotions in terms of their attendant conditions makes the poetic situation very much a public situation.

Bharata's commentators, who followed him, were careful to point out that the emotions treated in poetry are neither the projections of the reader's own mental states nor the private feelings of the poet; rather, they are the objective situations abiding in the poem (*kāvyagata*), as its cognitive content. The sorrow presented in the *Rāmāyaṇa* is to be taken not as the personal sorrow of the poet but sorrow itself in its generalized form and

identified by its criteria.[23] If it were only a feeling personal to the poet, it would not attain the status of a poem (*ślokatva*) and would not be fit for the reader's contemplation. It is further stated that the possibility of the poetic emotions being objectified in the work is dependent on their representation in words. *Rasa* is apprehended as residing in the work, in the situational factors presented in an appropriate language.[24] A poet chooses a theme because he sees a certain promise for developing its emotional possibilities and exploits it by dramatizing its details. It is immaterial whether he felt any emotion, although it is likely that he did. Poetry, then, is composed of words and sentences. The represented emotion, or *rasa*, is the meaning of the poetic sentence. The purport of the poetic sentence consists in the conveying of the basic emotions—for example, love or grief—through words descriptive of the actions and gestures that are invariably associated with those emotions.[25]

That poetic emotions have their "life in the poem" and arise only in relation to their formal representation in the poem is also the conclusion of T. S. Eliot.[26] Speaking of Ezra Pound's poetry, Eliot says that Pound's verse is always definite and concrete because "he has always a definite emotion behind it," and he quotes Ford Madox Hueffer's statement that "poetry consists in so rendering concrete objects that the emotion produced by the objects shall arise in the reader.[27] Feelings and passions, Eliot further argues, are not merely subjective but objective and public. Hate, envy, admiration, and so on can be named and the naming is important.

> It is obvious that we can no more explain a passion to a person who has never experienced it than we can explain light to the blind. But it would be obvious also that we can explain the passion equally well: it is no more "subjective" because some persons have never experienced it than light is subjective because the blind cannot see. We can explain it by its relations, by its effect upon the heart beat, its toxic alterations of the system, by its effects on conduct and social intercourse. Without these relations, which give the feeling its whatness, the feeling could not be said to exist.[28]

Bharata's *rasa sūtra* affirms as much. Emotions exist and are manifested in inalienable association with their causes and circumstances. As they are

known in life by their objective signs, so also are they apprehended from the language that describes them. It would therefore be wrong to bring the charge of subjectivism or naive emotionalism against the *rasa* theory.

But, as Harold Osborne asks pertinently, can emotional qualities like anger, sorrow, fear, and so on, which are only experienced by sentient beings as psychological effects, be properly attributed to works of art?[29] What do we mean when we say that feelings are properties of the work itself or that they may be predicated of the work directly? The Sanskrit critics too ask this question, and their answer is precisely the one suggested by Osborne: only in a secondary or metaphoric sense can we speak of the work as being the locus of *rasa*, on the strengh of the maxim that the quality of the effect is extended to the cause. As the commentators on the *Daśarūpaka* explain, "Although rasa is the relish enjoyed by the reader it is also the relishable quality manifested by the work. Hence the work too may be spoken of as possessing rasa (*rasavat*) in the way that one says 'Clarified butter is longevity itself' because it is conducive to that state. A relishable object becomes relish itself, just as it is said of Brahman, 'Brahman is relish indeed.'"[30]

Here of course *rasa* is understood in its general sense as aesthetic relish. A work is called tragic or comic because it is an object of emotion to the reader. Similarly, too, we attribute vaguely defined affective qualities called "aesthetic emotions" to arrangements of shapes, colors, sounds, and so on and speak of them as though they were the formal properties of the work itself. While in the case of nonrepresentational arts, however, we can attribute emotional qualities to them only metaphorically, in the case of a verbal representation these qualities are seen not only as properties of our response but as messages signified by means of the symbolism of words, by verbal descriptions of situations, actions, and gestures. Thus, the persons represented in a work, the poet himself or a character, are also shown as having an emotion or as being objects of emotion to other people in the story or to the poet. Otherwise, they would not become objects of emotion to the reader and arouse the corresponding emotion in him. It is in this sense that emotions are the meaning or the representational content of a literary work.

The objectivist has no difficulty in admitting that poetry may express an emotion through its objects and situations. However, for him, it must do so

without its having to arouse that emotion in the reader because there is no way of ascertaining that the emotion aroused in the reader is the same as that expressed by the work. Besides, pleasure and emotion in the reader are not sufficient criteria for discriminating works of art. They do not advance criticism beyond the statement that works of art give pleasure or that they evoke a peculiar emotion. We cannot judge the relative worth of works of art by the degree of pleasure that they give because we do not have a public measuring rod for the purpose. No two persons experience the same emotional reactions and in precisely the same degree.

A critic poses the problem as follows. Meanings and ideas are of course objectively present in the work; they can, for instance, be adequately and most often unambiguously specified. "But since there can be no equally sensitive control of emotional response we are here in the realm of the subjective."[31] This difficulty is fully appreciated by the *rasa* theorist. Hence Bharata and, following him, Ānandavardhana set up an elaborate logic of the emotions and a body of criteria for situation appraisal, called *rasaucitya* (propriety in the treatment of the emotions), based on public norms and standards (*lokadharmī, lokapramāṇa*). It must not be forgotten that what the Sanskrit critics are talking about are not the elusive inner happenings of the Cartesian theory but "meanings" of emotive situations and behavior as they enter into human discourse. Emotions in poetry are as objective and public as "meanings and ideas" are and can be specified as adequately as the others can be.

If this is so, then it would seem to follow that, in order to recognize emotions in poetry, it is not necessary to have emotions oneself. Granted that a poem or drama expresses emotions by representing people in emotional situations and attitudes, which will serve as signs to the reader of those emotions. But, as Osborne remarks, "When we see a 'natural' sign of an emotion, whether in real life or in art, the emotion signified to us is not necessarily or usually experienced by us. What occurs is direct observation that such and such a person is displaying signs of emotion and knowledge by inference that he is experiencing the emotion displayed. We have not direct knowledge by acquaintance of his emotion."[32] Another critic argues, "One recognizes feelings without oneself having those feelings…. We can recognize the presentation of grief without being grief-stricken ourselves."[33]

But such a conclusion seems to strike at the very root of the conception of *rasa* as aesthetic relish. For, concerned though they are about the essential objectivity of the poetic emotions, the Sanskrit critics do not wish to banish the affections altogether from the poetic experience. Nor do they entirely dispense with mental concepts. On the other hand, they insist that emotions are inner psychic states, but known by their criteria. Bharata, whose approach to aesthetics was more practical than philosophical, naively assumed that the emotions expressed in poetry are the emotions felt by the poet and shared by the audience. But Śaṅkuka, an early commentator on Bharata, saw the difficulty implicit in Bharata's formula for emotional expression and stated that emotions, being mental states, cannot be directly known or expressed; the knowledge of them is made possible only by their perceptible causes and effects, which are their logical signs. The emotions, he maintained, are inferred from their signs, and poetic representation (imitation, according to him) is only of these external signs, not of the intrapsychic states themselves, which cannot be expressed even by the power of poetry.[34]

Abhinavagupta, too, recognizes this distinction between inner mental states and their external conditions and signs and points out that, while these signs serve to manifest or make known the emotions, they are not identical with the emotions themselves. The two belong to two different orders of existence (the one is physical and insentient and the other mental and sentient), and they are apprehended by different organs of perception.[35] The spectator, no doubt, learns to recognize the emotive situation by observing the behavior of people in ordinary life, but he does so as much through a direct knowledge of his own emotions.[36] The adult person has a fund of personal memories and psychic impressions (*saṃskāras*) that enable him not only to recognize and interpret others' behavior but sometimes also to participate in these feelings. It is not true, as has been suggested, that we do not usually experience the emotions we recognize in others. There is such a thing as the power of sympathy, which we have all felt at one time or other. Śaṅkuka's view that poetic emotions are only inferred does not therefore account fully for aesthetic experience. It is true that the spectator must recognize the objective signs, but then he does not merely infer the emotions as being present in others, in which case he cannot feel any sympathetic vibration of the heart, which is essential to aesthetic

experience. Therefore, Abhinava-gupta says that, in the final analysis, it is one's own mental states that one perceives, the objective situation presented in the work serving simply to awaken the latent impressions or dispositions.[37] When one reads a poem, after one has grasped the verbal meaning that a character, Umā or Hara, felt joy or grief, there appears a direct perception of a mental order in which the meanings of the poem are lived as intimate personal experiences.

The Sanskrit theorist's assumption that there are these inner psychic states or preexisting conditions as distinct from their perceptible signs or symptoms and that they are unapproachable except through a direct experience of them at the interpersonal level of sympathy seems like a regression to the private language argument, which the language philosophers are so worried about. In recent years, theorists like J. L. Austin have tended to deny the existence of subjective states such as anger, grief, and the like apart from their behavioral manifestations.[38] Both Śaṇkuka and Abhinavagupta agree that emotions are mental entities that are not identical with their natural expressions or with their verbal representations. Thus, they both assume that they are logically and epistemologically prior to their outward manifestations while at the same time they admit that they can become known to others only through their external signs.

The ambiguity of this position seems to bear a close resemblance to that of Wittgenstein's. In his anxiety to avoid the extremes of the Cartesian and behaviorist positions, Wittgenstein was compelled to admit that feelings and sensations exist as nonbehavioral and nondispositional mental states but that they cannot be named and investigated independently of the circumstances that produce them and the behaviors by which they are naturally expressed. What Wittgenstein denied was not the internality of sensations but their incommunicability and unteachability. Inner experiences may well and do exist, but what enters our language is what is naturally expressed by behavior. Wittgenstein grants that pain, for instance, is more private than pain behavior, but inasmuch as it is private it plays no part in the language game. But does this mean that pain, this private accompaniment of pain behavior, "drops out of consideration as irrelevant" and no reference is made to it?

At least some of his exponents believe that Wittgenstein did not mean to abolish this inner reference.[39] Chris Gudmunsen has shown that what

Wittgenstein as well as Mahāyāna Buddhism meant to deny was not the occurrence of "mental processes"—sensations and feelings like hope, pain, etc.—but the notion that words designate or refer to these entities and are bound together with them in a one-to-one correlation. Words derive their meanings from their use, not from their referents. The final upshot of this is that there is a gap between words and experience: "On the one hand there are inner experiences, and on the other statements about them. The statements, however, are not about the experiences in the way we feel we would like them to be." Private sensations cannot be designated by words except indirectly. Gudmunsen cites the following statement by Wittgenstein: "'But I do have a real *feeling* of joy (Freude).' Yes, when you are glad you really are glad. And of course joy is not joyful behavior, nor yet a feeling around the corners of the mouth and eyes. 'But "joy" surely designates an inward thing.' No. "Joy" designates nothing at all. Neither any inward nor any outward thing."[40] The Sanskrit critics, including some schools of Indian philosophers, recognized this separation between language and experience; they did not subscribe to the picture theory. But, at the same time, they were emphatic in stating that inner experiences do exist, that they are directly perceived by the mind, and that their perception is their only proof. The *rasa* experience, similarly, brings its own validity (*svataḥ pramāṇa*) and does not demand any external proof by other means of knowledge.

But, even if the case for inner feelings is granted, a problem still remains for the literary critic. If poetry, as Wimsatt and Beardsley put it, "is a way of fixing emotions,"[41] in other words, of presenting the logic of the emotions or the structure of the emotive situation according to Bharata's formula, then would not all reference to its affective quality "drop out of consideration as irrelevant"? Emotions in poetry are presented as meanings inhering in an objective situation, not as private sensations. From this it would seem to follow that a cognitive understanding of these meanings is all that is needed for an understanding of the work. The Sanskrit critics, including Bharata, did not want to admit this because of their concern for setting up the aesthetic object as a source, not so much of knowledge, as of delight. For Bharata, *rasa* is so called because of its relishability, and poetic meaning is something that moves or evokes emotions.[42] Bharata speaks of the emotional thrill that a poem produces in the reader: "When a meaning,

charged with emotion, strikes the heart of the sympathetic reader, it courses through his body like fire through a dry log."[43] We seem to have here a familiar variety of affective criticism—a testimony to what Wimsatt and Beardsley call "goose-flesh experience" that one has often met with, for example, in Emily Dickinson's statement that if she felt "physically as if the top of my head were taken off, I know that is poetry," or in Housman's accounts of "shivers down the spine" and the sensation in "the pit of the stomach."[44]

Some commentators on Bharata's doctrine, such as Ṛaṅkuka and Mahimabhatta, who followed the school of the logicians, sought to establish the *rasa* theory on a firm cognitive footing and explored the semantic and epistemological basis of poetic meaning rather than merely its affective qualities. But even they attested implicitly to the power of poetry to communicate a valuable affective experience to the reader. For Śaṅkuka, no doubt, the poetic perception is an inferential process—emotions are inferred from their characteristic signs. But he admitted that delight alone would result from this process owing to the very nature of the objects depicted in the poem or play. To both Bhaṭṭanāyaka and Abhinavagupta, despite their differences, *rasa* perception is neither simple inferential knowledge nor a neutral semantic perception but essentially a form of relishing. Abhinavagupta says that the sensitive reader who apprehends the emotive situation does not do so in a neutral frame of mind but is drawn into it owing to the power of sympathy.[45] Thus we do not merely become aware of fear in somebody else when a fear situation is presented in a drama; we also experience the mood of fear, however remotely, as a vibration of the heart. It is not enough that the emotions are inferred in others or that emotive meanings are understood from the words of the poem in the way that factual statements are understood; they must also be found delectable. Otherwise, there would be little incentive to contemplate a work of art, much less to seek a repetition of that experience.

Both Bhaṭṭanāyaka and Abhinavagupta are quite emphatic in stating that poetic apprehension, whether in the poet or in the reader, does not result merely from the ordinary modes of knowledge like inference and verbal cognition, for these modes do not by themselves induce a repeated contemplation of the literary work, which is the very life of the aesthetic attitude.[46] If emotions are merely inferred as existing in others (*paraga-*

tatvena)—in the character or actor—there would be no imaginative identification (*tanmayībhāva*) and no aesthetic delight. If the spectator merely had a clinical perception, as it were, that "This is Rama who is in love with Sita because his circumstances and his behavior are those of a man who is in love," there would not arise any sympathetic response in him because the objects and circumstances that produced love in Rama are not present in him.

Again, poetic apprehension is not inferential knowledge because once an inference is made another inferential act concerning the same object cannot be initiated in the absence of the desire to infer (*sisādhayiṣā*). In inference, the mind comes to rest once the object is inferred, but not so in aesthetic perception. The same holds for verbal understanding: once a statement is understood, it becomes useless—as an object of knowledge, that is—and there is no reason why you should want to understand it a second time. Hence, poetic messages are different from the injunctions contained in the scriptures or the statements in historical treatises in that they not only convey information but also make that information worthy of repeated contemplation (*carvaṇāviṣaya*).[47]

Nor do poetic meanings serve any ulterior end as do the meanings of scriptures. The perception of poetic meanings is not of the form "I have been commanded to do this," "I want to do this," "I have done what I had to do," and so on. The gustation of the emotions (*rasāsvāda*) has no reference to what has gone before or what comes after, but like a magical flower it has its essence solely in the moment of its experience. Hence it is quite distinct from ordinary modes of knowledge or from Yogic perception.[48]

Similar considerations led Bhattanāyaka to assert that *rasa* is neither perceived, produced, nor manifested and to posit a special capacity of poetic language called "evocation" (*bhāvakatva*), which is a power assumed by words, distinct from their significative capacity (*abhidhā*), by which the emotions presented in the poem are realized by the reader in a generalized form. He also proposed a second process called "enjoyment" (*bhogīkaraṇa*), apart from verbal understanding, whereby poetic meanings are enjoyed by the reader.

Abhinavagupta, however, rejects this hypothesis of a distinct aesthetic faculty called enjoyment. He argues that the apprehension of poetic

emotions is a form of cognition because that which is not cognized cannot, like a goblin, be discoursed about.[49] There is also nothing called enjoyment that is different from perception or knowledge.[50] His conclusion is that *rasa* experience is a form of direct inner perception that consists of relishing and that the relishing is only a particular type of perception. Poetic apprehension is a form of feeling response (*bhāvanā*) because it induces a repeated contemplation of the object.[51] It (emotional perception) is called by another name, *rasana* or *carvaṇā*, owing to the particular means by which it is called into existence, even as other modes of knowledge like sense perception, inference, and verbal cognition are given different names owing to differences in their means.[52] The difference in this case consists in the fact that emotions are relished even while they are cognized.[53]

Rasa experience is, in other words, a type of emotional perception, not accounted for by other modes of knowledge, but implicit in them. As Viśvanātha explains, it is of the nature of cognizing the aggregate of the situational signs and is identical with the apprehension of the emotion embedded in them.[54] When an emotion is rendered delectable through a representation of its appropriate conditions in poetry, it attains *rasahood*.[55]

Thus, the *rasa* theory would be opposed to a purely cognitive view that argues that poetry is a mode of knowledge and contemplated as a pattern of knowledge and that valid cognitive knowledge rather than emotional thrills is the proper aim and mode of existence of poetry.[56] Recent critical theory in the West has had a stake in exalting poetry above the mere matter of emotions and sympathy, or entertainment (a low aim!), to a mode of knowledge. While still maintaining a fundamental difference between the poetic and scientific ways of knowledge, it argues that the end of poetry is no less than the apprehension of reality—to bring greater self-knowlege, to convey an authentic vision of the structure of the mind, and so on. Poetry is set up as a rival to science in that a knowledge function is claimed for it, but it is pointed out that this sensuous, experiential knowledge given by poetry is radically different from the propositional knowledge of science. Science gives us but an emasculated version of the world, and so we need poetry to restore to us "the world's body"—its concrete organic content.

The emphasis on the concrete, presentational, rather than the discursive, aspect of poetry would of course be congenial to the *rasa* theorist. But he

would insist that this quality of poetry is what pertains to the very nature of the emotive presentation itself. Emotive presentation is necessarily of a particular situation, character, and action, not of emotions in the abstract. The *rasa* theorist would also deny that it is the function of poetry to make a contribution to our knowledge of the world. Poetry gives us no new knowledge of ourselves—this function is perhaps better served by philosophy and psychology. It rather mirrors the psychic states that are already known to us and dramatizes them or presents them as something experienced. Poetic knowledge is more accurately described as a type of "recognitive" knowledge (*pratyabhijñā*) because it most generally presents what we have already known before but would like to experience again.

It is also argued from the point of view of the cognitive theory that, if poetry is to express emotion, it should do so only in the way in which words like "cat" or "unicorn" may be said to denote certain objects. "Poetry refers denotatively to emotions." It only "denotes" or "signifies" emotions rather than "evoking" them.[57] This is, in a way, admitted by the *rasa* theorist. The objects and other conditions of the emotive situation are denoted by the words that describe them. These words may also be said to "signify" the emotive state, through its objective conditions, that is. But, then, it must be pointed out that, in poetry, objects and facts (cats and unicorns) are presented, not as things to be cognized for their own sake, but as objects of emotion to people. And they are "cognized" as such by the reader. However, the *rasa* theorist sees no harm in admitting that poetic presentations, being emotive statements, can and do also arouse feeling responses in the readers and that these responses are felt as a vibration in the consciousness (*spanda, camatkāra*), even as is the inner perception of pleasure and pain. The predominant note of aesthetic response, though, is wonder and delight, the delight of a marvelous enjoyment (*adbhutabhoga*). It is this logic that leads Abhinavagupta to conclude that rasa experience is, in the ultimate analysis, something private.

But, paradoxically, Abhinavagupta as well as the critics who followed him saw no conflict in maintaining that poetic emotions are the property at once of the poet and of his public, intersubjectively, that is, and that they can arise only from the public context of the poem. *Rasa* or the aesthetic relish is common to both the poet and the reader. The poet's initial apprehension of the aesthetic potentiality of his material may be called the

seed of the *rasa* manifested in the work. It is only when the poet is filled with *rasa* that the work too will be suffused with it. That is to say, the poet will then be able to think up the right details and put them together in the right way. The same *rasa* will then be manifested in the poem and relished by the reader. But, in a way, both the poet and the reader are viewing the poetic situation in the same "aesthetic" light and having the same kind of perception—the poet while composing the poem and the reader while contemplating the finished work.[58] The character or the person of the play or poem cannot of course be said to have an "aesthetic" perception of the emotions he is undergoing. But, inasmuch as his experience is the nucleus of the poem or the poetic occasion (the poet puts himself into the experience of the character, and the reader too does the same in contemplating the poem), they are all bound together in a common matrix.[59] The assumption of such an affinity of nature is vital to any conception of emotive aesthetics. Since, thus, the whole poetic process is fraught with emotionality, and since the emotive element is what makes our experience of literature a valuable one, it would be wrong to abolish all affective reference, as the cognitive critics tend to do.

I have argued from the standpoint of the *rasa* theory that the values a poem communicates are emotive, not cognitive, and that the experience provided by them is, by common consent, held to be pleasurable. It is not of course the case that whatever values people perceive in a work are out there in the work as properties of an object, like the flatness of a table. It is, on the other hand, because an emotive situation is already freighted with value that people recognize the signs of value in a poetic presentation. In turn, of course, they see these values as factors in the object that account for their rapturous experience.[60] In any case, it seems absurd to say that feelings exist in the poem as objective qualities but that they cannot be experienced and shared as feelings or that literary works can be effective in specific ways but that they need not produce any effects in the minds of readers. For one thing, such a claim would fly in the face of overwhelming public testimony. The objection that the reader's response to a poem is variable, being something subjective, also need not be taken seriously. For, although reactions may vary in degrees of intensity, they appear to be the same in kind. It is not conceivable that someone who witnesses *King Lear* will react to it in any other way than that in which one normally reacts to a tragedy.

This argument does not perhaps set to rest the initial question, namely, the relevance of affective reference to critical discourse. The assertion that a play like *King Lear* arouses the tragic emotion, besides expressing it, plays no part in our criticism of the work as an adequate or inadequate presentation of the tragic situation. The structure of events, the characters' speech and behavior, the propriety of the language to the speaker and situation, and so on are matters that can be appraised only in terms of certain public norms, conventions, and usage. We do not judge the work by measuring the degree of emotion it has aroused in us or in others, as we do not have adequate means for that purpose. Even if it is granted that a literary work must arouse feelings because it expresses feelings and also that feelings have a way of spreading to others by the power of sympathy, it would be redundant for purposes of critical statement to say that the work arouses feelings because this idea is implied in the fact of the work being an expression of feelings, and it would not be critically significant since it does not provide the criterion by which the presented situation may be appraised.

However, it can be claimed for the *rasa* theorist that, in spite of his interest in the psychology of aesthetic response, he does not make critical judgment a matter of the reader having some private thrills. The public criteria are never lost sight of—so much so that the objectivity of the work itself as a verbal construct and of all discourse in connection with it is fully guaranteed.[61] Even Abhinavagupta, despite his transcendental vocabulary, is at no time seen to neglect logic or leave the objective work behind. While he speaks at length of *rasa* as aesthetic experience, he also draws a clear distinction between the "excitement" of the reader (*rasāveśa*) and the emotion objectified in the work and says that, because the response of a reader is not something fixed but contingent on his disposition, one should be guided by the verbal presentation of the emotion alone. The excitement of the reader is possible only through the *rasa* manifested in the work itself.[62] It is only the *rasa* objectified in the work that is fit for comment. It is assumed of course that poetry gives pleasure and that it exists for that purpose only. But pleasure as such, while it may help differentiate the fine arts from the useful arts—and this may be the whole point of Abhinavagupta's elaborations on aesthetic experience—does not furnish the criterion for critical evaluation. That is why both Plato and Aristotle, while

they recognized pleasure, were careful to subordinate that consideration to the concern with the object of imitation.[63]

Abhinavagupta's excursions into the psychology of response must therefore be understood only as an attempt to describe and isolate the aesthetic state and to indicate why people consider it to be valuable, not as a groundwork for the criticism of literary works themselves. There is no suggestion in Abhinavagupta or in the critics who followed him that the aesthetic object is beyond analysis and accessible only to subjective contemplation. The whole body of Sanskrit criticism is, in fact, primarily devoted to problems of poetic semantics and to the setting up of rules and principles for judging works of literature. Critical interpretation in Sanskrit, too, is predominantly cognitive and addressed to the task of explicating poetic meanings. The Sanskrit critic hardly ever talks about his own experience but rather concentrates on the linguistic form, the concrete body of literature, and its efficacy in terms of its expressive function. Thus, the emphasis is predominantly objective and analytic. The concern with the psychology of response is at best secondary.

CHAPTER 2
RASA: POETRY AND THE EMOTIONS

1. *Nāṭyaśāstra* 6.31, gloss: *rasa iti kaḥ padārthaḥ … āsvādyatvāt*.

2. "Abhinavabhāratī," *Nāṭyaśāstra* (BHU ed.) 1, pp. 15–16: *tatra natyam nāma laukika-padārtha-vyatiriktam….*

3. Coomaraswamy, *The Transformation of Nature in Art*, 46, and *The Dance of Śiva*, 41–43.

4. Pandey, *Comparative Aesthetics*, chap. 2.

5. Ibid., 140–142.

6. "Abhinavabhāratī," *Nāṭyaśāstra* 6, p. 670.

7. *Nāṭyaśāstra* 1.121: *sukha-duḥkha-samanvitaḥ*.

8. "Abhinavabhāratī," *Nāṭyaśāstra* 6, p. 652: *tat kāvyārtho rasaḥ*.

9. *Nāṭyaśāstra* 1.112.

10. For an exhaustive account, see Raghavan, *The Number of Rasa-s;* see also chap. 4 below.

11. *Nāṭyaśāstra* 29 contains a detailed discussion of the use of various musical notes and melodic structures for heightening emotional effects.

12. "Locana," *Dhvanyāloka* (Kāvyamālā reprint) 3.4, p. 160: *vibhāvādi samyogvibhāvādi samyogād hi rasa niṣpattiḥ….*

13. Compare Susanne Langer's theory of dance as emotive gesture (*Feeling and Form*, chap. 11).

14. *Nāṭyaśāstra* 4.268; for Abhinavagupta's views, see "Abhinavabhāratī" on 265–273.

15. "Abhinavabhāratī," *Nāṭyaśāstra* 4.273, p. 435: *anena rasāṅgatvān nṛttasya nāṭyatvaṃ jñeyam*.

16. *Viṣṇudharmottara* 3.35 ("Citrasūtram") and 43: *citra-rasaḥ*.

17. For a discussion of the various aesthetic theories, see Osborne, *Aesthetics and Criticism;* and Sparshott, *The Theory of the Arts*.

18. "Abhinavabhāratī," *Nāṭyaśāstra* 1.5, p. 36: *na hy anena sāmājiko viriīyate*.

19. Ibid., 1.115, p. 134.

20. See Casey, *The Language of Criticism*.

21. Huw Morris-Jones, "The Language of Feelings," in *Aesthetics in the Modern World*, ed. Osborne, 94–104.

22. *Nāṭyaśāstra*, gloss on 6.31.

23. Abhinavagupta, "Locana," *Dhvanyāloka* 1.5, p. 31: *na tu muneś śoka iti mantavyam*.

24. See *Bhāvaprakāśana of Śāradātanaya* (GOS ed.) 1.9, p. 154: *śabdopanīta; Sāhityadarpaṇa* 3.25: *śabdasaṃbhavāt; Nāṭyaśāstra*, "Madhusūdanī," p. 17: *kāvyaṛabdasya mukhyatayā pratipādyo arthaḥ rasaḥ*.

25. This is the substance of Dhanika's view although presented in a different context. *Daśarūpaka* (Adyar ed.) 4.37, p.211.

26. Eliot, *Selected Prose*, 29.

27. Eliot, "Ezra Pound: His Metric and Poetry," in *To Criticize a Critic*, 170, 181.

28. Eliot, *Knowledge and Experience in the Philosophy of F. H. Bradley*, 23.

29. Osborne, "The Quality of Feeling in Art," 105–124.

30. *Daśarūpaka*, pp. 167–168.

31. Hepburn, "Emotions and Emotional Qualities," 81.

32. Osborne, *Aesthetics and Criticism*, 145.

33. Morris-Jones, "The Language of Feelings" (n. 21 above), 99.

34. "Abhinavabhāratī," *Nāṭyaśāstra* 6, p. 625: *sthāyī tu kāvyabalād api nānusaṃdheyaḥ*.

35. Ibid., p. 630: *jaḍatvena, bhinnendriya-grāhyatvena, bhinnādhikaraṇatvena*.

36. "Locana," *Dhvanyāloka* 1.5, p. 33: *prāksaṃviditaṃ paratrānumitaṃ ca*.

37. "Abhinavabhāratī," *Nāṭyaśāstra* 6, pp. 668–671, on the nature of *rasa*. Abhinavagupta insists that *rasa* is not produced afresh by the presented situation of the drama: *ata eva vibhāvādayo na niṣpatti hetavo rasasya* (p. 671).

38. Austin, *Philosophical Papers*, 77–78.

39. Donagan, "Wittgenstein on Sensation."

40. Gudmunsen, *Wittgenstein and Buddhism*, 40–42.

41. Wimsatt and Beardsley, "The Affective Fallacy," 38.

42. *Nāṭyaśāstra* 6.31, gloss, p. 678; 7.1, gloss, p. 783.

43. *Nāṭyaśāstra* 7.7.

44. Wimsatt and Beardsley, "The Affective Fallacy," 30.

45. "Abhinavabhāratī," *Nāṭyaśāstra* 6, p. 669: *na tāṭasthyena pratipadyate*; p. 672: *na taṭasthatayā ratyavagamaḥ*.

46. Ibid., p. 669: *anumāna-smṛtyādi-sopānam anāruhyaiva tanmayībhāvocita-carvaṇā-prāṇatayā*.

47. "Locana," *Dhvanyāloka* 2.4, p. 85: *vyutpādanaṃ ca śāsanapratipā-danābhyam … vilakṣaṇam*.

48. Ibid., 1.21, p. 70: *vibhāvādi-carvaṇādbhuta-puṣpavat … evāyaṃ rasāsvādaḥ*.

49. Ibid., 2.4, p. 84: *apratītaṃ hi piśācavad avyavahāryaṃ syāt*.

50. "Abhinavabhāratī," *Nāṭyaśāstra* 6, p. 645.

51. *Rasagaṅgādhara* (BHU ed.) 1:15, Nāgeśa's commentary: *jñānaṃ ca bhāvanārūpam eva*.

52. "Abhinavabhāratī," *Nāṭyaśāstra* 6, p. 646. In Indian logic, the different modes of knowledge (*pramāṇas*) are distinguished according to the means (*karaṇa*, instrument) by which knowledge is produced and according to their operation (*vyāpāra*).

53. "Locana," *Dhvanyāloka* 2.4, pp. 84–85: *pratīyamāna eva hi rasaḥ; pratītir eva viśiṣṭā rasanā; pratītyā eva ca rasyante*.

54. *Sāhityadarpaṇa* 3.20 and gloss.

55. "Locana," *Dhvanyāloka* 1.5, p. 31.

56. See Lewis, *The Poet's Way of Knowledge*. Crane (*The Languages of Criticism and the Structure of Poetry*, 58) points out that for Aristotle poetry "is not itself a mode of knowledge."

57. Vivas, "The Objective Correlative of T. S. Eliot."

58. "Abhinavabhāratī," *Nāṭyaśāstra* 6.38, p. 691: *kavir hi sāmājikatulya eva; Dhvanyāloka* 3.42, gloss, p. 278: *śṛngārī cet kaviḥ kāvye jātaṃ rasamayaṃ jagat*.

59. "Locana," *Dhvanyāloka* 1.6, p. 34: *nāyakasya kaveḥ śrotuḥ samāno anubhavas tataḥ*.

60. See Krieger, *The New Apologists for Poetry* 161.

61. See further chap. 4.

62. "Locana," *Dhvanyāloka* 1.4, p. 23: *pratipattuśca rasāveśo rasābhivyaktyaiva … pratipattur api rasāveśo na niyataḥ*.

63. McKeon, "Literary Criticism and the Concept of Imitation in Antiquity," 143.

ABHINAVAGUPTA'S AESTHETICS AS A SPECULATIVE PARADIGM*

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An argument is made for the aesthetic grounding of the great Kashmiri philosopher's metaphysical theology—rather than the more usual reverse argument. A new translation of the *Śānta-rasaprakaraṇa* of Abhinava's *Bhāratī* is appended, which both improves Masson's and Patwardhan's version, and supports the above interpretation.

SINCE THE PUBLICATION OF K. C. Pandey's pioneering *Indian Aesthetics*, one of the leitmotifs of scholarship on Abhinavagupta's remarkable aesthetic theory has been commentary on its "philosophical" basis.[1] The main thrust of this inquiry has borne on Abhinava's own expositions of the Kāśmīri Śaiva tradition, which provide the necessary background for an assessment of his aesthetics.[2] While not wishing in any way to contest the usefulness of this approach, I have wondered for some time whether it would be equally illuminating to examine the main theses of Abhinava's metaphysics in the light of his aesthetics.[3] In an equally important study, *Śāntarasa and Abhinavagupta's Philosophy of Aesthetics*, J. L. Masson and M. V. Patwardhan indirectly acknowledge this approach, when they describe Abhinava's famous tāntrika image in terms of its evidently aesthetic (*rasika*) framework. But in general, they, like Pandey, are more concerned with aesthetics as the dependent term of the relation—the term that profits most from being explained through the other.[4] Interestingly enough, this very choice of a problem creates for Masson and Patwardhan something of a non-problem: they feel they have to ask why an essentially "religious man" such as Abhinava would expend such energy to buttress philosophically his aesthetics. Then-answer, that he felt obliged to justify a

secular literature in which he felt a "deep interest"[5] rings false; Abhinava's literary musings do not strike one as apologetic. I think, rather, we may better appreciate *Abhinava's* problem by asking how a sovereign aesthetics might help a Śaiva mystic develop a philosophically accountable notion of the Lord, who is, after all, *at play*.

The problem we propose accords as well most straightforwardly with the chronology of Abhinava's works accepted by Pandey.[6] On his view, Abhinava's mature period is defined by his two *Vimorśinī*s, which present a fully developed *theory* of recognition [*pratya-bhijñā*]—that the world in its active multiplicity is a real manifestation (*spanda*) of a single conscious essence.[7] Our task here will be to ask how these works may profitably be read in the light of Abhinava's novel and remarkable aesthetic speculations.[8]

I believe, as do Masson and Patwardhan, that Abhinava's notion of *śānta rasa* ('tranquillity') provides the nexus through which the relation between philosophy and aesthetics is characteristically developed. Śānta rasa, indeed, occurs at the cutting edge of the issue we are both concerned with. But while they seem content to view this unprecedented ninth rasa as the philosophical "buttress" that the aesthetic theory needs, I will again[9] concentrate on the paradox that it implies, both for Abhinava's aesthetics and his metaphysics. The ninth rasa is a rasa in a different sense than the other eight of the tradition. To assert it as a rasa involves an aesthetic paradox, for while the eight rasas are clearly understood as modifications[10] of the basic emotional constituents [*bhāva*] of our mundane personality, the new rasa implies rather a suppression of those very constituents: it is a state untroubled by emotion of any sort. That is why, of course, the discussion of śānta rasa, in the Indian texts, is chiefly an inquiry into its *sthāyin*, that is, is an effort to discover the bhāva that may without contradiction be assigned to it, and of which it is a "modification." If it should appear that sānta rasa has, in fact, no corresponding bhāva, then its status as a rasa would not only be paradoxical in explanation, but impossible of manifestation—something like a "hare's horn."[11] I will discuss Abhinava's solution to this paradox below, as well as Masson's and Patwardhan's account of his solution, but first, I want to point out that śānta rasa poses also a paradox, in an even greater sense, for Abhinavagupta's philosophical thesis.

Śānta rasa, all agree, derives its pretext from the fourth *puruṣārtha* ('life goal'): *moksa*, 'liberation.' But śānta rasa, if indeed it functions as claimed by Abhinava, and is accomplished in the terms he proposes, would appear to possess the attributes of mokṣa, the supreme goal of life, and thus becomes either a synonym of moksa, or renders the latter notion superfluous. In either case, the boundary between "art" and "reality" (which is as important to Abhinava as it is to Aristotle) would disappear, and metaphysics would in effect have been reduced to aesthetics. There are several ways of stating the implications of this unpalatable reduction, but one of them is that the view thus sketched appears too close to that of the Bengali Vaiṣṇavas: aesthetics has become, not a theory of beauty, but a formula for action—a practical ethic that does in fact not only improve us but fundamentally alters our condition. To see such a view already implied in Abhinava is not only anachronistic, but conflicts with several positions Abhinava clearly adopts, and which seem central both to his poetics and his metaphysics: for instance, that pleasure [*ānanda*] is the predominant mode of aesthetic experience, not instruction [*śāsana, vidhi*];[12] that the locus of the aesthetic experience in its primary form is the contemplative spectator, not the working actor (to say nothing of the author);[13] and most importantly, that *rasāsvāda* and *brahmāsvāda* are analogically related, but differentiable, experiences.[14]

For these reasons and others, śānta rasa represents a challenge to Abhinava's philosophical position, as well as to his aesthetics. Because he cannot be equated with the activist Vaiṣṇavas, he must be understood as somehow distinguishing śānta and mokṇa. In this sense, his metaphysics does in fact depend on the solution to a problem that is "aesthetic"—the reality paradox of śānta rasa (*vis-à-vis* mokṣa) depends on resolving satisfactorily the aesthetic paradox of śānta (*vis-à-vis* the other rasas). Abhinava's solution, I would claim, is ingenious, for he turns these twin paradoxes to his advantage: the paradoxes themselves contribute to his *philosophical* argument.

Mokṣa, indeed, gives opportunity to śānta rasa, and the ambiguity of the rasa *vis-à-vis* the other rasas is in part a function of the ambiguity of the puruṣārtha *vis-à-vis* the other puruśārthas. Recognizing this parallelism constitutes the first step in confronting the paradox. To the *prima facie* objection that santa does not belong to the realm of art at all, because the

"absence of affection" is not worth representing and cannot be enjoyed, Abhinava replies that it would be unusual if one of the four puruśārthas—and the most important, by all accounts—were so different from the others, in terms of its grounding in the human psyche, that it could not be seen as arising out of the human condition, and be incapable of appreciation in some sense. Just as the rasa *śṛṅgāra* is grounded on the fact of "passion" [*rati*], and its appreciation involves a certaingeneralization and depersonalization of that common experience (which is evidently linked to the puruṣārtha *kāma* [desire]), so it seems likely that the phenomenon of mokṣa is competent to sustain our fascination, especially as it already involves, as its essence, a certain kind of depersonalization and generalization of experience.[15] But this likelihood is grounded on a very abstract notion of rasa and puru☐ārtha; if śānta is to be defended as a rasa, it must be shown concretely in the same psychological nexus as the other rasas—which means, *in fine*, that it must be shown in proper and essential relationship to a concrete experience [*bhāva*]t of which it is a pleasurable modification. If we can answer the question: what is its bhāva? then the ancillary questions: how is it represented? [what are its *vibhā-vas*] and what are its dramatic effects? [what are its *anubhāvas*] will be readily answerable. But it seems that we have simply restated the aesthetic paradox.

Abhinava concludes, after a very intricate argument, that the bhāva, or concrete experience, on which śānta rasa depends is none other than the "Self" itself:[16] the ātman, understood both as the permanent background[17] against which all transient experiences (including the other rasas) are projected, and as the object of that experience which consists of total clarity and perspicuity [*tattvajñāna*]. But the ātman is also both the mode (as *tattvajñāna*) and the object of the *tapasvin*, the *mu-mukṣu*. Is then the aesthetic experience that which the yogin realizes? Or, is it art that provides the *via facilior* which then obviates the arduous journey of the yogin?[18] If, like Plato, Abhinava has, at this point, collapsed the distinction,[19] it is at the cost of the problems already noted. He seems to suggest this by referring approvingly to Gautama's view that *tattvajñāna* is a recognized stage in the achievement of moksa.[20] And as well, by pointing to the well-known yogic stages of *yama* and *niyama* as perhaps "helping" in the portrayal of santa rasa.[21] Yet this is an appearance only. Since Abhinava cannot be reasonably seen to have abandoned the distinction between "art" and "life," we are

obliged to understand what he has in fact done by putting śānta rasa in the deadly serious context of salvation; to wit: the metaphysical paradox.

All roads thus converge on Abhinava's notion of śānta rasa. To resume: it is a rasa essentially different from the other rasas, pointing us toward philosophy; yet as having a psychic configuration similar to that of mokśa, it risks, by its generality and ease, to make salvation "aesthetic." In aesthetic terms, it appears to lead us away from aesthetics; in philosophical terms, it appears to make philosophy unnecessary. If we can see that these conundra are versions of the same problem, perhaps we will get closer to Abhinava's meaning. By all accounts, not only does Abhinava's aesthetics infringe upon the matter of his philosophy, but his account of philosophical matters is distinctly "aesthetic." His doctrines themselves not only revolve around the paradoxes of śānta rasa; the paradoxes are also perhaps a way of asserting his doctrine. The key, I believe, lies in seeing why his philosophy presumes his aesthetics.

The fundamental difference between Abhinava's *advaita*[22] and Śaṁkara's consists in the former's effort to explain and account for activity as a constituent element of the absolute—for Śaṁkara, of course, activity is itself a sign of lesser reality (*māyā*), which will fall away in the gnosis of the absolute. Logically, Abhinava's is a very risky thesis, for it appears to admit multiplicity and variety into the supreme principle.[23] Abhinava appears to abet this ambiguity by speaking of two powers (*śakti*) which together characterize the absolute: that of knowing (*jñāna*) and that of acting (*kriyā*).[24] On the face of it, a dualism similar to that of the Sāṁkhya seems to have been posited. The absolute, in its guise of "knowing" is manifested in the subjective world of awareness and reflection;[25] in its guise of "acting," in the objective world of presentation, typology and change.[26] Indeed, these postulates would appear to "realize" activity in a way more satisfying than Śaṁkara's, but at the expense of positing an inconsistency in the character of the absolute itself.[27]

The dilemma, of course, repeats the problem we have posed above: the principle of the subject, whose idealization is a repose in the absolute consciousness— would appear inseparable from the principle of the object, which is realized in variety and activity; on the other hand, a (re)active (or emotional)[28] consciousness, multiple as it is, would appear to stain the

absolute, if it is to be involved in it, with the variety of ordinary life. For Abhinava, the dilemma is resolved in much the same way a similar paradox is resolved by Bhartrhari:[29] the seemingly opposed worlds of object and subject are made over into always corresponding aspects of a single consciousness, whose business (unlike the Sāmkhya *puruṣa*) is not simply to be passively aware, but to provide for the underlying correspondence which every act of awareness supposes. Thus, its unity is in fact functionally dependent on maintaining a multiplicity; in being aware, the "I" is seen as a functioning agent[30] of this universal consciousness, which even to be possible, must have been given its objects. Consciousness, now understood as providing those objects which appear in their appropriate awareness in the individual consciousness, is termed *spanda*: the ever renewing and ever present 'urge' to be,[31] an essential aspect of which is reflexive being, or individual awareness.[32] In this way, the seemingly opposed aspects of subject and object—*jñāna* and *kriyā*—are made over, by the notion of creative correspondence—into the modus of realization of the one principle. The one is thus not the abstract and essentially empty unity of Śaṁkara, but is a plenitude in which we are privileged to share (by being conscious).[33] Abhinava is also better able to account for the apparent unreality of the given world, accepting the cognitive implications of the Buddhist doctrine of momentariness (as did Śaṁkara), but without accepting its ontological implications: nihilism—"nothing" is.[34] In fact, what is, is the power of the Lord, who in each instant, maintains and renews an ever active creation—not only for the subject, but including the subject, whose activity is thus also "real."

Put in another way, it may be said that the view which simply opposes subject and object is arbitrary, and fails to grasp the most essential fact of the opposition—that for every act of awareness, there is a corresponding content of awareness. The duality, which appears to be a precondition of consciousness, is in fact, when rightly understood, nothing more than a sign that consciousness is occurring: the *spanda*, which involves (indeed, requires) "me,"[35] but is equally implied by the mere presence of the object.[36]

When we describe the absolute in this way, it does appear that the concrete multiplicity of awareness is not alien to it, but is, so to speak, its

manner of being.[37] In the same way, it would make eminent sense for Abhinava to suppose that an aesthetic mode would figure in the very statement of the absolute principle itself.[38] Of course, the mere fact of concrete awareness is the absolute only in a sense; the mundane is the mundane, and we must make a major effort to acquire the absolute—or at least the sense of the absolute.[39] In this, the Śaivas and the Advaitins do not disagree. But if the absolute is as we have described it, the only apprehension of it that is possible is that of reflective awareness: the mundane consciousness becoming aware (not of its object—in this system, that is the given, the mundane) but of itself in the act of grasping its object: *vimarśa*.[40] Thus is consciousness also essentially active, in its highest form.[41] In this way, it may be understood that the primary reflexive apprehension of which we are capable is that of rasa itself—the emotional consciousness; not satisfied with delectation of itself *in* its appropriate content, be it the amorous act, or the heroic deed—it becomes aware *of* itself, as a generic awareness consisting of pure delight, utterly centered in itself—a condition we might call *rasatvam* (if it were not too Naiyāyika an expression).[42] The content of this new awareness is then the very fact that consciousness has a content—but that original content must then appear as transient, for it is seen against the more fundamental background[43] of the act of apprehension itself. It seems, in other words, that we have again discovered śānta rasa—for Abhinavagupta, that emotional awareness in which all the other rasas are apprehended as possible. That this still may be termed an *emotional* awareness may be doubted by some; but for Abhinava, at least, it is not mokṣa that we therein apprehend (any more than *rasāsvāda* is identical to *brahmāsvāda*).[44] This is the essential point of difference: even though the concrete rasas, like the bhāvas they arise from, are transient, they are essential in their very transiency— philosophically, if not indeed experientially—to the awareness that is śānta.

The notion of mokṣa, in this system, may, if anything, be said to be modelled on that of śānta rasa: the principle of reflexivity whose concrete (affective) realization is a kind of appreciation of transciency is given a rigorous cognitive dress in the "recognition" that the percipient subject[45] is the Lord's agency. That this is also accompanied by delight may truly be said to express the fundamentally "aesthetic" character of mokṣa in this system.[46] But of course, it is not simply delight—as was the easier

"recognition" of śānta. Liberation represents an active, and thorough, transformation of the life which sustains the cognition: it is not satisfied with a "delight" itself fundamentally impermanent.

In the final correspondence, then, it may be said that śānta rasa is to mokṣa as the concrete rasas are to the apprehension of "reality"; and the ratio works also vertically: both śānta and mokṣa involve reflexive apprehension of the act of awareness itself—which in its sense of immediacy, givenness, is variously manifested as purely cognitive "illumination" [*prakāśa*] on the one hand, and by the affective, or "reactive" absorption [*vimarśa*] in the collective substratum [*vāsana*] of our being, on the other.

In Abhinava's world, then, the duality of subject and object has been replaced by a duality of modes of awareness: one immediate, involving as its essence transciency and dependence; the other reflective, surmounting that transciency and fully autonomous [*svatantra*]. But it may well be that the only "end" to transciency available to Abhinava is the awareness of the utterly creative power of the Lord—which does not so much put an end to the coruscating series of images [*vaicitrya*], as enfold them all: the understanding of the immanence of all things.[47] On this level, śānta rasa and mokṣa may indeed converge—but the standpoint is that of Śiva, and not perhaps that of the devotee. Mokṣa (or śānta) is as much as he may hope (in this life) to win. To Śiva alone is it given to laugh as his mode of creation.[48]

Many theories of metaphor call attention to its reflexive character.[49] A general view on the subject of poetic diction is that it is self-referential—calls attention to itself as well as to what it says. If metaphor is the basic formal device of poetry[50]—by which poetry itself is differentiated from non-poetic discourse—it would appear that Abhinava's notion that the absolute reality is reflexive consciousness is a necessarily poetic notion. And it has been given a psychology of aesthetics that firmly grounds its metaphysics in the processes of ordinary experience. Abhinava's world is thus doubly reflexive: one recognition moves the witness from private experience (*bhāva*) to a universal experience (*rasa*), the second moves him from a world that merely appears *to* him (i.e., seems to *be* before him), to one that is essentially his contemplation of it (i.e., one that is *for* him).[51] The link between the two reflections is perhaps śānta rasa: the aesthetic

contemplation of a world in which the centrality of experience is the chief feature; wherein all merely concrete experiences are reduced to possibilities —experienced, that is, only in their becoming and passing away.

AVATĀRANIKĀ TO A NEW TRANSLATION OF *ŚĀNTARASAPRAKARṆA*

Believing indeed that the understanding of śārita rasa is central to an understanding of Abhinavagupta's thought, and that the widely available translation by Masson and Patwardhan on many crucial points is misleading or incomplete,[52] I offer as my contribution to the discussion this new translation. Masson and Patwardhan, I am convinced, were frequently wide of the mark not because of any lack of philological sophistication, but because they had prejudged the text in one crucial respect: they saw it as an essentially philosophical or metaphysical defense of the notion of śānta rasa. The text is indeed highly abstract and thoroughly argued; but in my view, its chief aim is to defend the aesthetic adequacy of the notion—that is, to argue the place of this rasa among the rasas. Abhinava never (to my knowledge) addresses directly the question of śānta rasa and mokṣa, or tries to defend śānta rasa in terms of his understanding of mokṣa.[53] The latter issue he has taken up for consideration in his later work—where his debt to his aesthetics is obvious, but again, where poetic issues figure as illuminating asides, never as conceptual bases. We are left to draw our own conclusions, and mine have been indicated above.

While taking issue with Masson and Patwardhan, I must acknowledge my (I think obvious) indebtedness to their work. Abhinava's text is immensely difficult; Abhinava's successors and copyists had as much difficulty with it as we do. The process of understanding Abhinava is essentially dialectical, and Masson and Patwardhan, by making the most difficult first step, have made the rest, if not easy, at least easier. My own ideas have often taken shape in reaction to theirs. So let not my frequent quibbles with their results obscure the respect I have for the effort they have made. The differences I have indicated are intended to highlight fundamental disagreements about the force of the text. And also to point out where I think I have been able to clarify what for them was obscure. But with Abhinava, one never knows.

I have translated all significant technical terms— with the major exception of *rasa*. Translators often take refuge in non-translation either to hide their insecurity, or (which is worse) to make the text appear more

accurate and technical than it is.[54] The net result is a translation that no one can read except those who don't need to. And one slides easily into the false security of the Sanskrit, which now has become a jargon that exists entirely aside from normal communicative language. Thus it is easy to forget that *sthāyibhāva* always *meant* something to Abhinava. Whether my translation 'stable emotional base' is correct or not, at least the reader will have to grapple with a text that not only comments on the Sanskrit, but demands to be made sense of as an argument—just as Abhinava intended.

The style, at least, of Abhinava's *Vimarśinis* often calls attention to his earlier speculations on poetics. Many similarities in his use of language are apparent; many metaphors are common to the two enterprises. Striking is his use of *bhitti* 'wall' in similar contexts, to call attention to the Self or ātman in its function as stable background on which the images of the emotions, and of real objects, are cast.[55] The "mirror" metaphor as well, indicates the limitations of the "wall" metaphor— for in the last analysis there is no "external" source of projection, as there is in the case of the mirror.[56]

The image of the dancer recalls the same usage in the *Sāmkhyakārikā*.[57] But references to the "beloved" show how easily Abhinava relies on rasaśāstra, and, for emphasis, among the rasas, on the erotic.[58] The crucial poetic term *camatkāra*, 'striking, vivid', occurs with "striking" effect in a discussion of the supreme consciousness.[59] Terms such as *uparāga* and *uparañjaka*—though they probably have the status of frozen metaphors— occur frequently in description of the relation between the transient multiplicity (of emotions, of consciousness-contents: *vikalpa*) and the "stable background" (the ātman).[60] The interesting term *viśrānti* is, of course, ubiquitous in both periods of writing.[61] It denotes the "repose," which is perhaps not the "nature," but is at least the token, of the Self.[62] Its absence marks all that is "insentient" [*jaḍa*].[63] It is a term that affects all cognitive activity—as when a word or a proposition "comes to rest" in complete understanding.[64] For Abhinava, perhaps, it is the key operational term expressing his notion that the universe is a correspondence of two realms: truth is thus also a *viśrānti*.[65]

THE SECTION ON ŚĀNTARASA FROM ABHINAVAGUPTA'S COMMENTARY ON THE NĀTYAŚāSTRA OF BHARATAMUNI

The nature of "tranquility" (ought also) to be stated, in the view of those who, on the other hand, read "nine rasas."[66] Some (of them) say that tranquillity (is the rasa) whose stable emotional basis [*sthāyibhāva*] is "peace" [*śama*], that it is produced by conditional factors [*vibhāva*] such as ascetic practice, association with ascetics, etc., that it is portrayed through consequential factors [*anubhāva*] such as the absence of desire and anger, and that its transitory (affective states) [*vyabhicāri(bhāvā)*)] are steadfastness [*dhṛti*], reflection [*mati*], etc.[67]

This (view) others do not tolerate, because "tranquility" and "peace" are synonyms.[68] And also because the (traditional) number of affective states [*bhāva*] is given as forty-nine.[69] Moreover, (they say) it is, entirely proper, for example, that conditional factors such as seasons and garlands are distinctly apprehended [*anusaṁdhīiyate*] (as elements) within the erotic (rasa)—which comes into being immediately after their (apprehension); (but) ascetic (practices) and Vedic study (which are alleged to be among the conditional factors of śānta) are not immediate causes of (the rasa) tranquillity.[70] If it be proposed that they *are* the immediate causes *of* the knowledge of the truth [*tattva-jñana*][71] (which in turn occasions tranquillity), (these others reply:) in that case, effectiveness [*prayojyatā*] is attributed to the knowledge of the truth that has arisen (immediately) prior (to śānta rasa); consequently ascetic practice, Vedic study, etc., have (in effect) been given up as the conditional factors (which directly produce śānta rasa).[72] Furthermore, the "absence of desire," and so on, is not a consequential factor (appropriate to the portrayal of this rasa), because it is often in evidence when the very opposite[73] of tranquillity (is being portrayed); because (in itself) it conveys nothing;[74] and because it is not something that can be suitably represented on the stage [*prayogāsamavāyitvāt*]. For the cessation of activity is not a suitable subject for stage presentation. Even (conditions) such as sleep, delirium, and the like, are given consequential representation [*anubhāvyante*] by actions such

as regular breathing,[75] sighing, falling down, and lying on the ground. And (as for this rasa's supposed transitory affective states) how can such things as "steadfastness," in which a passion for (attainable) objects is presumed,[76] occur in (the context of) tranquillity (which, by definition, involves no passion for any object). It is not by doing nothing that the spiritual trainee [*vineya*] is educated in the means of knowing the truth;[77] they whose minds are pained at (the spectacle of) another's pain have not reached the condition of seeing correctly, but are (still) in worldly travail (*saṁsāra*). Thus, "tranquility" is not a rasa.

To this, (it is reasonable) to respond (*atrocyate*):[78] just as now the triad (of human goals, namely) religious duty, (well-being, and pleasure) is here[79] (well known), equally well established is (the fourth) goal, viz., "liberation," (which) has been expounded (*vyutpādyate*) primarily in the śāstras, and in traditional religious [*smṛti*] and epic [*itihāsa*] texts, (whose study serves) as means (to its attainment). But (those who insist that mokṣa is not suitable to kāvya) should be asked: why may not the state of mind [*cittavṛtti*] conducive to "liberation," the highest human goal, not also be capable of transformation into rasa [*kimiti rasatvaṁ nānīyate*]?[80]—just as those states of mind associated with pleasure, (which are) called "sexual passion," etc., are indeed transformed into rasa, as the "erotic"—for an audience suitably endowed with a sympathetic sensibility [*hṛdayasaṁvāda*], and through the agency of poet and actor—means whereby (the states) are brought to a condition capable of being enjoyed.[81]

That state of mind which is so (capable of transformation) is nothing but the stable emotional basis [*sthāyibhāva*] (of the rasa in question: śānta). The question is now posed: what is its name?[82] Some assert: (it is the) "indifference" [*nirveda*] which arises from knowledge of the truth.[83] Indeed (they continue:) this "indifference" is different from the "indifference"[84] which arises from poverty, etc., because the cause (of the former), knowledge of the truth, is different. It is for this reason that (Bharata) reads this (term at the juncture) between the (list of) stable emotions and the (list of) transitory affective states [*sthāyisañcārimadhye*].[85] Otherwise, the sage, who always has his eye on the auspicious (utterance), would never have read (the verses) so.[86] And when he denies that "disgust" [*jugupsā*] (may be used) as a transitory affective state in the erotic rasa, Bharata[87] recognizes

that all the (stable) emotional states[88] may figure (sometimes) as primary, (sometimes) as ancillary, and (even) as involuntary[89] or (voluntary) consequential factors[90]—inserted (in the play) as suitability (demands), and brought out by circumstances or by language. Now the "indifference" which arises from knowledge of the truth suppresses all the other stable emotions.[91] Would not that stable (emotion), which is stable by nature, truly suppress the others—in contrast with sexual passion, etc., which thrive on the variety of emotions [*bhāva*]?

This (position) must be investigated.[92] He who asserts that indifference born of knowledge of the truth is the stable emotional basis (of the rasa "tranquillity") in effect asserts that knowledge of the truth (is the stable basis of the rasa "tranquillity").[93] How can (activities such as ascetic practice, association with yogins, Vedic study, etc., which) bear the seeds of detachment [viz., eventuate in detachment: *vairāgyasabījādiṣu*], be understood as conditional factors (to this "indifference")? If it is maintained that they promote it, such a usage would attribute "conditionality" to the cause of a cause, and this extends (the notion of "conditional factor") beyond is accepted range.[94] Now, "indifference," which ever consists in an attitude that (such and such) is not to be sought after, may be defined as "detachment"— and it, on the contrary, is helpful to knowing the truth.[95] For the detached person always strives so that in himself knowledge of the truth arises—indeed it is from knowledge of the truth that liberation (comes); it is not that first knowing the truth he then becomes indifferent, and from indifference (arises) liberation. For these gentlemen agree that "from detachment comes mergence into material nature."[96]

It if be countered that the detachment of him who knows the truth always becomes stronger—for even these gentlemen say, "and beyond (even) that [viz., *vairāgya*] is the absence of appetite, which proceeds from knowledge of the spiritual essence [*puruṣa*]"[97]—(we reply:) let that be so; (but) the revered Patañjali himself has stated: "this type of detachment is the final state of knowledge."[98] And so, (even on this view, we find) a series of (progressively more adequate) knowledges of the truth (each one) furthering the next; (we still discover) no "indifference" as stable basis (for liberation).[99] The only stable basis would be knowledge of the truth itself.[100]

As for the "correct knowledge" [*saṁyagjñāna*] which, as we will explain in our commentary on the transitory affective (states), tends to the cessation of what had for a long time been sought in erroneous deception[101]—that (alone) may be taken as a conditional factor to "indifference," (but "indifference" in this sense amounts to) "revulsion" [*kheda*]. For example:

> Useless—milking a bull
>
> that I had taken for a cow heavy with udder!
>
> Useless—embracing a eunuch
>
> that I had taken for a lovely girl!
>
> I hoped for beryl
>
> when I saw the piece of glass shining!
>
> O foolish me who worshipped
>
> miserable you! worthless and unsophisticated!

We will (further) explain this (mundane indifference) at that time.[102]

But has the revered Akṣapāda[103] not asserted, in the aphorism beginning "the source of suffering…," that the predilection for objects of sense, which has its root in false knowledge, is quieted by knowledge of the truth? (This implies, does it not, that) knowledge of the truth—which destroys false knowledge, is the cause of detachment—defined as the falling away of (such) defects (as false knowledge)?

If so, what of it?

Well, isn't "indifference" [*nirveda*] (a form of) "detachment" [*vairāgya*]?[104]

Who asserts such (a proposition)? "Indifference" (after all) is a mental state characterized by an *effusion* of the current of grief; "detachment" is the *cessation* of passions and the like.

Or, let us assume (for the purposes of argument) that "indifference" is (a kind of) "detachment."[105] Still, the teacher did not include it in the aphorism, understanding mat liberation was (the effect thereby) to be accomplished, because, even though it would have come between (cause

and effect), it is under the control of its own cause.[106] He would, rather, on the ground that indifference arises from knowledge of the truth, have used the term "indifference" (in the aphorism) instead of "peace" [*śama*]. The terms "peace" and "tranquillity" have been understood (here) as synonyms —just as are "laughter" [*hāsa*] and the "comic (rasa)" [*hāsya*]; their difference can (also) easily be stated (as it has been in our own aesthetics) in terms of the relation between the given and that which is to be realized, or that between the mundane and the transcendental, or between the common and the special.[107] Therefore, "indifference" is not the stable (emotional basis of "tranquillity").[108]

Still others affirm the following: eight particular mental states only have been spoken of (by Bharata)—sexual passion, etc.[109] They become even more variegated [*vicitra*] when (over and above the factors already mentioned) they are conjoined with special otherworldly conditional factors such as (the study of) revealed texts in solitude.[110] One among these (extraordinary varieties) (must be) the stable (emotional basis of śānta). Indeed, sexual passion (itself) may be the stable (emotional basis, for) having as its object the uninterrupted, blissful Self,[111] it is the means to liberation. As has been said:

> He alone has no task left to do
>
> Whose delight is in the Self,
>
> Who is satisfied with the Self,
>
> Who is pleased by the Self.[112]

In this way, any one of the (permanent mental states), from sexual passion and laughter up to amazement[113] may be posited as the stable (emotional basis of śānta)—insofar as liberation is achieved by him who perceives that the entire (realm of sense-)objects is incongruous [*hāsa*]; or who looks on everything as lamentable [*śoka*]; or who sees worldly affairs as offensive [*krodha*]; or who has taken refuge in a heroism both uncompromising and undeluded [*utsāha*]; or who is afraid of all sense objects [*bhaya*]; or who has conceived disgust for those things, such as young women, etc., that are sought after in the world [*jugupsā*]; or who is

amazed at the extremity of the unprecedented attainment of his Self [*vismaya*].

Nor is this (view) disapproved of by the sage (Bharata). Inasmuch as he enumerates specific emotional states [*bhāva*], using terms like "sexual passion," etc., and then incorporates others which are modes of these, using the term "and"—he acknowledges that sexual passion and the rest (also may) aim at final release [*apavargaviṣaya*], brought into play by transcendental causes that are different from those (which bring about the ordinary states listed).[114] But those who speak thusly—who allow (the sthāyins) alternately to replace one another, in effect undermine the stability of (any) one.[115] The notion contradicts itself on its face which asserts that any one [*tasya tasya*] (of the eight bhāvas) may become the stable (basis), depending on this or that condition.[116] (Furthermore), because the stable (emotional basis) is different for each person, the rasa itself arguably would be infinite.[117] If (in response to this, it is argued that) the rasa would be one, because it is the cause of a single (result, namely) liberation—then (one might as well argue that) the heroic [*vīra*] and the violent [*raudra*] (rasas) were one because they eventuated in a single result, namely, the destruction (of the enemy)!

Still others say that it is because sexual passion and the rest have become indistinguishable—like the flavors in a drink—that they (together constitute) the stable (emotional basis of śāanta rasa).[118] This also is not an attractive (thesis), because the mental states do not occur simultaneously, and because (some of them) are incompatible (with others).

What then is the stable (emotional basis of śānta rasa)? It is said:[119] to the extent that knowledge of the truth is a means to the (accomplishment of) liberation, it is that alone that ought to be stable where liberation (is concerned).[120] But "knowledge of the truth" is nothing but knowledge of the Self—knowledge of a Self, as it were, an object apart (from mundane objects). For if the Self were indeed "beyond" [*para*], it would not be a self.[121] This has been dealt with extensively by our teacher,[122] and we also have elsewhere expatiated upon it—so we will not insist on it here.[123] It follows then that the Self—possessed of untainted qualities such as knowledge and joy, and untouched by affections for presumptive objects[124] —is the stable (basis for śānta rasa).[125] Its "stableness" is not to be argued

in terms of the "stableness" (of the other emotive states).[126] (The other states) such as sexual passion, whose mode of existence (ever) is to be (either) facilitated or obstructed, in accordance with the appearance or disappearance of various causal factors, are said to be "stable" relatively [*āpekṣikatayā*], to the extent that they attach themselves for a time to the wall[127] of the Self, whose nature it is to be "stable." Knowledge of the truth, however, represents the wall itself (on which are displayed) all the other emotions [*bhāvantara*], and is (thus), among all the stable (emotive states), the most stable.[128] It need not be separately mentioned (among the sthāyibhāvas)[129] because it by nature is an always realized stable emotional basis, which converts all the mental states, such as sexual passion and the others, into ancillaries [*vyabhicārībhāvayan*] (of itself).[130] For the same reason, it is not proper to count it separately (as a "ninth" bhāva). One does not count "bovinity" a third, in addition to (the bull) with half-grown horns, and with no horns.[131] Thus the figure of forty-nine, (for the) emotions, remains intact. If[132] we are asked: why has it not been separately mentioned? we would reply: because it is not associated with any separable bliss.[133] Unlike sexual passion, and the rest, this form of the Self we have described is not, in its unalloyed form [*asaṃpṛktena vapuṣā*], within the province of the ordinary understanding.[134] It appears, though in itself [*svagata*] not subject to any predication [*avikalparūpa*], as soiled by the other mental states,[135] when it is examined at the moment in which its permanent characteristics[136] (have been recognized).[137]

Or, let it appear so in the world.[138] Nevertheless, there is no counting of stable (emotions) simply because they are possible, because such would not be useful given the rasas that have been declared.[139] But rather they would have been defined (simply) as transitory (emotions)—and not otherwise.[140] Thus (again) the version is sound (which accepts) forty-nine emotional states.

Now, further, the nature of the Self does not admit of transitoriness— because this is impossible,[141] and because (the Self) does not convey diversity [*vaicitrya*],[142] and because (even if such a Self were possible, it would) not be suitable (to dramatic representation).[143] The "nature of the Self" is (indeed) "peace"—and the sage (Bharata) has indicated this (nature) by using the term "peace."[144] Whether he indicates this by using

the term "peace", or the term "indifference," does not compromise (our position).[145] Only (it appears) that "peace" is one mental state, "indifference" another; (the latter) is akin to the (mundane) "indifference" that arises from other conditional factors, such as poverty, etc. Being kin (to that other state) it may be designated by the term for it, even though there is a difference of cause—as are sexual passion, fear, etc.[146] And so, "peace" (*mutatis mutandis*) is nothing but this "nature of the Self"—viz., knowledge of the truth.[147] Moreover [*tathā ca*]t sexual passion and the rest are specific (forms) of affection which stain the Self; even though it is accompanied by them, (he who), by dint of uninterrupted meditation, understands its pure form, (achieves their) pacification as soon as its permanent characteristics (have been recognized).[148] It is said: "(Its) pacification is conveyed by (suppression of the antagonistic) affections."[149] Before the stable (affective state), knowledge of the truth, the entire group of mental states, both mundane and transcendental, becomes "transitory." (They become) its consequential factors [*tadanubhāvā eva*], together with the consequential factors that are aided by abstinence and suppression,[150] and those natural gestures that will be explained in the three chapters beginning with "glances… "[151] Thus these (consequential factors) properly belong to it [*etadviṣayā eva*].[152] For this is (its) nature.[153]

Similarly, (its) conditional factors are such things as the supreme Lord's grace. And (thanks) to this,[154] (the depiction of) sexual passion, etc., may be enjoyed as about to be extinguished. Just as (are enjoyed) longing, in (the rasa of) erotic separation; or the "complete festival of the beloved", in (the rasa of) erotic union.[155] And as (are enjoyed) fierceness,[156] in the violent rasa, or disinterest, steadfastness, fright or joy,[157] in the pitiful, heroic, fearsome, or marvellous (rasas). Even though these (states) are transitory, they appear as primary;[158] similarly, in (the rasa) tranquillity, (states like) disgust (may appear to be primary), because they are utterly antagonistic to passion.[159] And similarly, in the Mahāvrata (rite), the wearing of human skulls…[160] The anointing of his body with (foulsmelling) oils, for the purpose of inducing disgust, is enjoined on the husband's brother, engaged in (the act of) procreating a son.[161] His preeminent striving[162] is here included within that class of acts—a synonym for which is "compassion" [*dayā*]—whose form is that of an effort (made to

satisfy) a wish for another's welfare, in accordance with the maxim: "he who has accomplished in himself all that is to be accomplished,[163] will make an effort to achieve the aims of others." Therefore, on the strength of this[164] being a transitory (emotional state), some designate (these acts) as "heroism of compassion," others as "heroism of religious duty."[165]

But this "striving" (which you have seen in various scenes suitable to the depiction of śānta rasa) is the life-breath of egoism;[166] "tranquillity" however consists in the relaxation of egoism.

(To this objection, we reply: no), for (the depiction of) even an antagonistic (emotive state) as transitory is not inappropriate—witness the (depiction of) indifference in (scenes of) sexual passion.[167] In verses such as: "My bed is the grassy lawn… "[168] the preeminence of striving in order to accomplish the welfare of others, is noticed. No (human) condition is ever devoid of striving—apart from the effort (to fulfill one's) desires, one would be a stone! Since then they who have apprehended the lower and the higher (selves) have nothing left to accomplish in reference to their own Self—their minds now being tranquil—the sacrifice of their own body, or wealth, for the welfare of others, is not incompatible with (their) tranquillity.[169] The preservation of one's body, etc., is enjoined for those who have not accomplished what is to be accomplished—in accordance with the maxim: "he should protect himself… "[170] Ascetic renouncers, however, lack any intention to preserve such (things). For example:

> The life-breath is the established condition
>
> Of religious duty, profit, desire, and liberation.
>
> When it is gone, what is left to destroy?
>
> When it is safe, what is not saved?[171]

The motivation [*nidāna*] for preserving the body is thus shown to be its instrumentality in achieving the four well-known aims of life. One hears, in the case of ascetic renunciation, that "he who has accomplished all should fall[172] into water, into fire, into a chasm." So, in one way or another, (the renouncer) must abandon his body. If it be abandoned for another's sake, is there something that is not realized thereby? If it be objected that such as

Jīmūtavāhana[173] were not renouncers, what difference does that make to us? Certainly he (is understood to have) possessed knowledge of the truth. Otherwise, it is inconceivable that one who equated body with self, and made (his) body into the be-all and endall (of existence), should abandon (it) for another's sake, without reference to religious duty, and the like. Even in battle, the hero does not strive (directly) to abandon his body; rather he acts in the interest of conquering the enemy.[174] So too, by throwing (one's body) off a cliff, one hopes[175] rather to acquire a more resplendent body (in the next life). Whatever is done—teaching, giving of gifts, and finally the abandoning of the body—without reference to one's own interest and for the sake of another, is wholly inconceivable on the part of those who have not acquired a knowledge of the truth of the self.[176] Those (who have) do know the truth. Both revealed texts and recollected authority (support the view that) in all stages of life, liberation belongs to those who are wise. As has been said:

> Even the householder is liberated
>
> Who is devoted to the service of the god,
>
> Bases (his deeds) on knowledge of the truth,
>
> Is kind to guests, performs die funeral rites,
>
> And gives liberally of his substance.[177]

It is only from (performing) religious duties that are done with the intention of helping another, and conceived in connection with the essential result of another's welfare,[178] that there arises (in the next life) another body suitable to that (duty, and this is the body) of Buddhas-to-be, and as well, of those who know the truth.

And even when (it figures properly among the) subsidiaries,[179] we observe that a calm [viśrānti] is reached, because this is also appropriate to (its own) nature.[180] For example—Rāma acceding to the command of his father, where (it is) subsidiary to the heroic.[181] The same (relationship) is to be supposed in the case of the subsidiaries to the erotic and other rasas.[182] Thus, even though tranquillity is stable (by the preceding argument), it may figure as secondary (in a work).[183] In the case of Jīmūtavāhana, (it is so)

because what is aimed at (by him) are the three (worldly goals), chief (means) to which is the helping of others.[184] With this in mind, (Bharata), in the (chapter) defining *nāṭaka*, says: "… (it is) associated with qualities such as opulence, flirtatious behavior, etc."[185] By this, he says that all kinds of actions aiming at profit and (satisfaction of) desire, replete with [*pradhāna*] (displays of) opulence and flirtatious behavior, should be introduced into a nāṭaka, to (achieve) that beautiful (result) which is a concordance of the hearts of all people. We will explain this in that context. With this in mind, the sage (Bharata) will not prescribe any species of chanting[186] in the case of (the rasa) tranquillity. Thus also, the view is refuted which asserts that (the rasa) tranquillity does not exist because no species of chanting is prescribed (for it).[187]

Others, however, say that Jīmūtavāhana, in response to the old woman's lament: "who is thy savior now, son?" did nothing but save the old woman who had come to him for help. He has no power at all. Nor did he injure anyone else.[188]

This we agree with.[189] It is after all not the province of Buddhas-to-be to live lives of high position, and full of motivation—even if they have the power (to do so). Injunctions do not instruct according to the rule of "the crow and the palm tree."[190] It is thus established that the primary (rasa) in this (drama) is "striving" as characterized by compassion.[191]

The other transitory (emotional states) may be (employed) according to circumstances. As has been said: "in the interstices (of a pacified mind) appear other cognitions, owing to the traces (of previous lives)."[192] For this reason, the view which holds that because of inactivity no consequential factors (are present), stands refuted. However, when one has reached the final stage (of meditation), there is an absence of consequential factors; this cannot be represented (in the theatre). Even in the case of sexual passion, grief, etc., it is proper not to represent their final stages.[193]

The hearts of men concord (in finding delight) in (such scenes) as are made manifest through the traces (of former lives) that have their source in a knowledge of the truth of the sort (we have described)—as (Bharata) will say: "the dispassionate (rejoice) in liberation."[194] This concord is not universal nor for all (men): in the fearsome (rasa), there is no heroic

character.[195] It might be asked: in such a presentation, what delight is there for the hero(ic type)? We answer: where this[196] is represented [*nibadhyate*], there will necessarily also be (a representation of) erotic passion, heroism, and the like—as helpful to (achieving one or another of) the ends of life.[197] Delight for these (men) will be based on those (rasas employed as adjuncts).[198] Where, as in the case of comedy, a rasa such as the comic is primary, there, too, delight may be based on the other rasas which come into being along with the (primary). Some assert that the cause motivating the division of drama [*rūpaka*] (into ten types) is predicated on the (different) delights which properly belong to the various tenants [*adhikārin*] (of those delights).[199]

Therefore, the rasa "tranquillity" exists.[200] And so, following (the phrase:) "we will lead the stable emotions to the condition of rasa …,"[201] there is read in certain old texts this definition of (the rasa) "tranquillity": "tranquillity is (the rasa) having as its proper stable emotional basis 'peace'…"[202] In (the view of) these (texts), the delight of all the rasas is tantamount to "tranquillity,"[203] inasmuch as (all the rasas involve a) turning away from (the gross) objects of sense. (Their/its) being grasped as the main thing is "based uniquely on other latent mental impressions [*vāsanāntara*] (deriving from earlier existences).…[204] Here, to indicate that it was the stuff [*prakṛti*] out of which all (the rest are made), it is indicated first.[205] And in accordance with the maxim that, in the world, one does not count over and over again that which is common, its stable (emotional basis) is not separately mentioned.[206] But it has become separate, as the object of that understanding whose mark is the delight (felt by) connoisseurs who have discriminated (it): even what is common will be counted separately by one who discriminates. And also, nine rasas are mentioned in the epics [*itihāsa*] and purāṇas, and in the lexica—and (most important of all) in the auspicious "conclusory doctrines" (of our tradition).[207] For example:

> He should here visualize the "erotic," etc.,
>
> As belonging to the eight gods:
>
> In the middle (of them), be should visualize
>
> The "tranquil" form of the god of gods.[208]

Its conditional factors are ascetic detachment, terror in the face of transmigratory existence [*saṁsārabhīrutā*], and the like. For it is cognized through these, when they are fit together (in a composition). Its consequential factors are concern for teachings about liberation, etc. Its transitory (emotional states) are indifference, reflection, recollection, and steadfastness. Because "devotion" [*bhakti*] and "faith" [*śraddhā*]—infused with recollection, reflection, steadfastness and striving, and focussing on contemplation of the Lord—are both in other ways [*anyathaiva*] supportive [*aṅga*] (of it), these two are not counted separately as rasas.[209] Here we find the summary verse:

> The rasa "tranquillity" is to be known
>
> As (that) occasioned by the Supreme Self and liberation;
>
> Having among its causes the aim of knowing the truth;
>
> And is associated with property of supreme felicity.[210]

Here, ("tranquillity") is shown through the three qualifications of conditional factor, stable basis, and consequential factor, in that order.

> Taking up its several occasions
>
> The rasa arises from tranquillity.
>
> Its occasions then vanishing,
>
> It is absorbed in tranquillity.[211]

By these and other verses, (this rasa's) being the stuff of the other rasas is summarized.[212]

Now, as to what (the sage) will say regarding the *ḍima*, namely, that it "employs six rasas, excluding the erotic and the comic,"[213] here is (Bharata's) meaning: since the ḍima has as its primary (rasa) the "violent" [*raudra*], in accordance with the definition immediately following, "… which originates in poetry of inflamed [*dīpta*] rasa,"[214] there is not even the possibility (in it) of "tranquillity"—as incompatible with that (rasa); so why bother to negate it?

But in that case, if tranquillity is impossible, why bother to qualify (the *ḍima*) as "originating in poetry of inflamed rasa"?[215] The occasion (for the qualification) is his having said that six (rasas) are to be employed, apart from the erotic and the comic.[216]

But this qualification also excludes (poetry) whose predominant (rasa) is the pitiable, the disgusting, and the fearsome! (We reply:) no! for (that possibility) has been set aside by (the further qualification:) "… (the *ḍima*) is associated with the grandiose and violent manners.'[217] Since, however, the grandiose manner only is appropriate in (the rasa) tranquillity, (saying only that much) would not have excluded it. Therefore, far from (being an argument against tranquillity), the definition of the *ḍima* is an indication of its existence! The case of the erotic (rasa) however (is different), for (it is consistent) with quite violent pursuits (and is thus) brought to mind (by the qualification "… inflamed …"); and the comic, being supportive of the (erotic),[218] also has to be negated, because (both of them) are materially relevant [*prāptatvāt*].

Because (this rasa) is identical in all the others [*sar-vasāmyāt*], the attribution to it of particular deities, colors, etc., is inappropriate;[219] nevertheless, it should be noted that they have been postulated.[220] Now, the origin of (the rasa) tranquillity has already been demonstrated. Its involuntary consequential factor is the "comic" (rasa).[221] The "heroic" and the "disgusting" (rasas) are also among its conditional factors.[222] It follows then, that this rasa (should) teach such things as abstinence, suppression, and contemplating the Lord; that its final benefit [*mahāphala*] is that it confers (skill in) acting;[223] that it is the most important matter (in aesthetics); and that it suffuses (the elements of) the plot [*itivṛtta*], etc.[224] Enough of prolixity!

(If it be asked:) what sort of delight (is this—this delight) in the "truth" that (we say) is (appropriate) to it (viz., to śāntarasa)?[225] (We) reply: the nature of the Self is such as to be affected by striving, sexual passion, etc., which themselves exude (their particular) affections[226]—like a pure white string that shines in the intervals between rare and sumptuous [*umbhita*] jewels; once it has assumed this form, thus does the nature (of that Self) shine forth among the passions, all of them—such being the case [*tathābhāvenāpi*]—(attractively) affective, according to the maxim: "this

Self appears once."[227] Devoid of all the complex of sufferings that derive from looking away (from it), it shines out from both poetic and practical[228] works generally as that single consciousness through which is attained supreme delight—and, by distinguishing (itself) in the interior condition (of the spectator), effects a sensibility of the same sort, which leads to (the experience of) a transcendental joy.[229]

Thus, there are but nine rasas. These many only have been taught, either as being useful in (attaining the) aims of man, or as (involving) a surfeit of delight. Thus the view has been refuted which asserts that this number has been fixed upon, even though others are possible, because (only so many) are familiar to the audience. This will be explained (further) in the chapter on the emotions.[230] False (the notion) that there is a rasa "fondness" [*sneha*], whose stable basis is "un-guency" [*ārdratā*]. Fondness is nothing but an "inclination" [*abhiṣaṅga*], and it is completely subsumed in sexual passion, striving, etc. Thus the fondness of the child for its parents comes to rest in fear (that they depart); that of a youth for his friends, in (sexual) passion;[231] that of Lakṣmaṇa for his brother (Rāma) in the heroism of duty, etc. Similarly considered is that of an elder for the son, etc. The same path may be taken, when refuting (the notion that there is) a rasa "fickleness" [*laulya*] whose stable basis is "greed" [*gardha*]. It is subsumed either in the "comic" or the "erotic" or elsewhere. The same may be said of "devotion."

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[1] Ch. 2, pp. 74ff., esp. p. 91: "The main object of the[se] volumes, which are being written on Abhinavagupta, is, therefore, to revive the monistic Śaiva tradition and to put his aesthetic theory in the proper perspective of his general philosophy."

[2] Esp. the voluminous *Tantrāloka* and the two *Vimarśinīs*—the *Ī(śvara)P(ratyabhijñā)V*. and the *Ī(śvara)P(ratyabhijñā)V(ivṛtti)V*.—Abhinava's chief expositions of Śaivism in the tāntrika and the śāstraic perspectives. All have been published in the Kashmir Sanskrit Series, but my references to the *I.P.V.* herein are to K. A. Subramania Iyer's and K. C. Pandey's edition (in two volumes: Allahabad, 1938 and 1950), which also contains the *Bhāskarī* of Bhāskarakaṇṭha. Abhinava's *Parātriṁśikâvivaraṇa* also makes many substantial comments on the arts, esp. music.

[3] … not, indeed, by adopting the straightforward strategy of T. S. Eliot, who has at times seemed to want to consider religious liturgy an object of delectation, but nevertheless suggesting that Abhinava's "world view" owes as much to his psychology of awareness as his theory of art does to

his notion of salvation. See Eliot's essay on Lancelot Andrewes, quoted in F. O. Matthiessen, *The Achievement of T. 5. Eliot*, 125; also the remarks on Eliot which conclude my essay "Rasa as a Category of Literary Criticism" (in *Sanskrit Drama in Performance*, ed. R. V. Baumer and R. Brandon [Honolulu, 1981], 253–54).

4 *Śāntarasa and Abhinavagupta's Philosophy of Aesthetics* (Poona: B.O.R.I., 1969), a work which brings together conveniently many of Abhinava's dispersed pronouncements on aesthetics. The authors observe (p. 158): "This then is Abhinava's final position. To have provided a coherent philosophy of aesthetic experience is no small achievement." The brief text conveying the *rasika* image, the "Dhyānaśloka," is translated by Pandey (*Abhinavagupta*, 2nd ed. [Varanasi, 1963], 20–22). In that connection, Masson and Patwardhan observe (p. 40), "What is of interest to us is the similarity this process bears to a dramatic performance.…" Yeats' two poems, "Sailing to Byzantium" and "Byzantium," might also be adduced as illustrations of the transformation of ritual into art.

5 *ŚAPA*, viii, "Introduction."

6 *Abhinavagupta*, ch. 2 (pp. 27–77, esp. pp. 32–34); in general, the sequence of works provides a basis for dividing Abhinava's literary life into three periods: the tāntrika, the ālaṁkārika, and the śāstrika.

7 This has been called a "realistic monism"—to distinguish it from Śaṁkara's *idealistic* monism. Both *Vimarśinī*s are commentaries on the *Īśvarapratyabhijñākārikā* of Utpaladeva (to whom we owe the term *pratyabhijñā*), the first (also called the *Bṛhatī*) on Utpala's auto-commentary (*Vṛtti*), the second (or, *Laghvī*) directly on the *Kārikā*. It is usual to abbreviate the former, *I.P.V.V.*, the latter, *I.P.V.* Nota bene, by Pandey's account the shorter work is also the later work.

8 We will not make the stronger claim, though it is implied, that his theoretical work also owes a great deal to his aesthetic speculations.

9 See Edwin Gerow and Ashok Aklujkar, "On Śānta Rasa in Sanskrit Poetics" (*JAOS* 92 [1972]: 80–87) for an earlier treatment—exclusively from the perspective of aesthetic theory. (This was a review article of Masson's and Patwardhan's book.) Kamaleshwar Bhattacharya's very laudatory review of *ŚAPA* may also be consulted: "*Śāntarasa* et Advaita," *Journal Asiatique* CCLX (1972): 89–105. Bhattacharya, however, succeeds only in emphasizing the fundamentally "philosophical" character of Abhinava's aesthetics.

10 *Mutatis mutandis*. The question of what kind of modification—whether a real transformation or a "manifestation" of something more basic—has been discussed at length, and we may take Abhinava's answer to the question as a given. What we experience when we experience "rasa" is nothing more than those constituents themselves, freed from the contingent qualifications of concrete situation, etc. In other words, the aesthetic experience brings us, reflexively, into contact with the generalized possibility of experience itself: that *vāsanā*, which in Indian psychology denotes not only the latent impressions that our present life enlivens, but the vehicle underlying the continuity, and therefore the possibility, of experience from one life to the next. We experience, in art, not love for *X*, but love as such, insofar as all men share such a determination.

11 See Abhinava's treatment of śānta rasa: *Abhinavabhāratā* (G.O.S. ed.), l:332ff.; cited in extenso, and translated, *ŚAPA*, 113ff. My translation, which differs from theirs on several points, and solves many of the riddles they leave unresolved, follows.

12 "tatra ye svabhāvato nirmalamukurahrdayās ta eva saṁsārocitakrodhamohābhīlāṣaparavaśamanaso na bhavanti | teṣāṁ tathāvidhadaśarūpakākarṇanasamaye

sādhāraṇarasanātmakacar-vaṇagrāhyo rasasañcayo nāryalakṣaṇaḥ sphuṭa eva… tena nāṭya eva rasā na loke" (*Bhāratī* ad *N.Ś.* 6.33 [vol. 1, p. 291]). See also *I.P.V.* ad 1.5.12 (vol. 1, p. 249).

[13] "ata eva teṣāṁ (sahṛdayānāṁ) kāvyam eva prītivyutpat-tikṛt… | tatra ca naṭo dhyāyinām ivedaṁdhyānapadan" (*Bhārati* ad rasasūtra [vol. 1, p. 287])." … ye tv atathābhūtās teṣāṁ pratyakṣocitatathāvidharcarvaṇalābhāya naṭādiprakriyā | svagatakrodhaśokādisarikaṭahṛdayagranthibhañjanāya gītādipra-kriyā ca muninā viracitā | sarvānugrāhakaṁ hi śāstram iti nyāyāt" (*Bhāratī* ad *N.Ś.* 6.33 [vol. 1, p. 291]).

[14] For Abhinava, as for Śaṁkara, the experience of absolute reality is marked by a "bliss" *ne plus ultra*: "… yad api vā (sukhaṁ) lokottaraṁ rasacarvanātmakaṁ tataḥ … parameś-varaviśrāntyānandaḥ prakṛṣyate | tadānandavipruṇmātrāva-bhāso hi rasāsvāda ity uktaṁ…. asmābhiḥ" *Locana* ad *Dhvanyāloka* 3.44 (p. 228, N.S.P. ed.; quoted also *ŚAPA*, 154). Thus, though the relation between *rasāsvāda* and *brahmāsvāda* remains analogical, it confirms, by its quasiaesthetic formulation, the justice of our proceeding *from* aesthetics *to* metaphysics! Cf. K. Bhattacharya, "*Śāntarasa* et Advaita," 95ff., who also stresses the anticipatory character of *rasāsasāsvāda*, citing (and retranslating) the difficult passage from Abhinava's *I.P.V.V.* (vol. 2, pp. 178–79) that Masson and Patwardhan translate on pp. 44–45 of *ŚAPA*.

[15] *ŚAPA*, 114, 11. 1–3.

[16] *ātmaiva… atra sthayī*: *ŚAPA*, 115, 11. 26–27.

[17] The metaphor of the "wall" (*bhitti*) occurs both in Abhinava's philosophic and in his aesthetic writings, e.g., *I.P.V.* ad 1.5.12 (p. 246), and *Bhārati* (vol. 1, p. 336). It is doubtless related to the mirror metaphor: below, n. 37.

[18] We have, it seems, stumbled upon an Indian version of the art/life problem: witnessing a play is (or is not) activity essentially other than living the good life, is not (or is) reducible to (judgeable in terms of) life outside the theatre. In the West, the two opposed positions go back to (and have achieved their canonical formulation in) the moral aesthetics of Plato (the highest good is also the most beautiful thing; flute-playing is a danger to the state) and the imitative poetics of Aristotle (art is *modelled* on life; but its principles of construction and judgment are its own).

[19] Of course, Plato's aim in not recognizing a distinction between art and life was to devalue art and subject it to the discipline of life (censorship, etc.); what Abhinava seems to be doing here is rather the reverse: the way to capture what is most serious in life is to value its aesthetic component.

[20] *Nyāyasūtra* 1.1.2 (*ŚAPA*, 126, n. 5).

[21] *ŚAPA*, 116, 11. 18–19. These are the preliminary and basic forms of yogic discipline: abstaining from actions not conducive to self-realization, and suppression of passions mat distract the mind from concentration. *Yogasūtra* 2.30 and 32: "actions" such as *hiṁsā*, "suppressions" such as *śauca*.

[22] The following outline is not intended in any sense to be original; it follows, in the main, the accounts of Pandey and Chatterji, and is seconded, where relevant, with appropriate quotations. My aim is to focus on those aspects of Abhinava's metaphysics which in themselves appear to presume, or to have the structure of, an "aesthetic."

[23] "… ekam anekasvabhāvam kathaṁ syāt?": *I.P.V.* ad 2.1.1 (vol. 2. p. 9).

[24] "… jñānaṁ kriyā ca bhūtānām jīvatāṁ jīvanaṁ matam": *I.P.V.* 1.1.3 (vol. 1, p.61).

[25] Treated in the *jñānādhikāra*, and esp. in 1.5.1 1ff. Reality in this mode appears as *prakāśa*, 'illumination' or 'awareness.'

[26] Treated in the *kriyādhikāra*, esp. 2.1.1ff. Reality in this mode appears as *kriyā, 'activity.'* *Evidently, the inspiration for Abhinava's "dualism" is not the Sāṁkhya, but Bhartṛhari.*

[27] "… nanu parāmarśo nāma vikalpaḥ | sa ca avikalpaśud-dhasaṁvidvapuṣi bhagavati kathaṁ syāt?": *I.P.V.* ad 1.5.11 (vol. 1, p. 241).

[28] It should be borne in mind that the emotions are (re)active, in the sense of tying us to our environment and previous lives.

[29] Cf. kārikā 1.5.13 (vol. 1, p. 250): "citiḥ pratyavamarśātmā parā vāksvarasoditā | svātantryam etan mukhyaṁ tad aiśvaryaṁ paramātmanaḥ"; and Abhinava thereon: "… pūrṇatvāt parā, vakti viśvam abhilapati pratyavamarśena iti ca vāk. ata eva sā svarasena cidrūpatayā svātmaviśrāntivapuṣā uditā sadānasta-mitā nityā aham iry eva" (pp. 253–54).

[30] See preceding note and citation.

[31] "… ghaṭo hi sphurati mama … | madīyaṁ sphuraṇaṁ spandanam āviṣṭam iti | spandanaṁ nāma kiñciccalanam, eṣaiva ca kiñcidrūpatā yad acalam api calam ābhāsate iti" (*I.P. V.* ad 1.5.14 [vol. 1, pp. 256–57]).

[32] "… evam īśvarasyāpi… yad icchātmakaṁ vimarśnam aham ity etāvanmātratattvaṁ (na tatra kaścit kramaḥ…)": *I.P.V.* ad 2.1.8 (vol. 2, pp. 25–26).

[33] "… svātmavartina icchāspandodayasphuṭasphuritaviśva-bhāvanirbharatātmanaḥ pūrṇatvasya. …": *I.P.V.* ad 2.3.17 (vol. 2, p. 142).

[34] Nor is the world a "mistake."

[35] "… kumbhakāravyāpāro nāma paramārthataḥ ĭśvarec-chaiva tadavabhāsitakāyaspandaparyantā" (*I.P.V.* ad 1.8.9 [vol. 1, p. 419]).

[36] "bāhyatvaṁ nāma ābhāsāntaram īśareṇa svātantryabalād eva" (*I.P.V.* ad 1.8.5 [vol. 1, p. 409]).

[37] The image of the mirror recurs frequently, e.g., *I.P. V.* ad 2.1.1 (vol. 2, p. 9): "atra ca uktaṁ citsvabhāvasya darpa-ṇasyeva ekatānapabādhanena ābhāsasaṁbhave ka iva virodha iti tasmāt pratyabhijñānabalāt eko 'pi asau padārthātmā sva-bhāvabhedān viruddhān yāvat aṅgīkurute tāvat te virodhād eva. … tam ekaṁ kriyāśrayaṁ saṁpādayanti." [Pandey's text resolves saṁdhi between words where clarity would benefit.]

[38] "Aeswetic," after all, derives from the Greek **αἴσθησις,** 'awareness'.

[39] "… freedom consists in transcendency from the temporal order" (K. C. Pandey, "Introduction," *I.P.V.*, xxxv).

[40] "so ham iti vimarśaḥ" (*I.P.V.* ad 1.1.1 [vol. 1, p. 35] et passim). The *vimarśa* in and through which freedom is realized is called, simply, "recognition"—*pratyabhijñā*: "tasya [maheś-varasya] dāsyam ity anena tatpratyabhijñopapādanasya mahāphalatvam āsūtrayati [kārikākṛt]" (*I.P.V.* ad 1.1.1 [vol. 1, p. 29]). *Vimarśa* differs from *prakāśa* in that the reflexivity is explicit, that is, has itself

become a content of consciousness. See Pandey, *Abhinavagupta*, 324f̄25. *Prakāśa* is pure immediacy: "tasmāt prakāśaḥ prakāśa eva" (*I.P. V.* ad 1.5.4–5 [vol. 1, p. 211]).

41 Would it be too Spenglerian to suggest that in Abhinava we have found the Indian counterpart to Hegelian thought? Not only is the supreme principle a notion of reflexive (self-objectifying) consciousness, but Abhinava's Sanskrit is at least as German as Hegel's German is Sanskrit: "yady api ca prakāśavimarśātmakaṁ cidekaghanam ekam eva saṁvidrūpaṁ tathāpi vyutpādanāya tatparighaṭita eva ayaṁ vibhāgaḥ…" (*I.P.V.* ad 1.8.1 [vol. 1, pp. 397–98]).

42 Not implying the "genus" present in the species, or the "species" present in the individual (which is not the usual Indian view, in any case)—but simply that "awareness" which is a generic thing, has (alone among genera) the capacity to posit itself as its object. See n. 131, below.

43 *bhitti:* see n. 17, above.

44 The celebrated analogy is most explicitly formulated in Abhinava's rasasūtra commentary: "rasaḥ … sattvodrekapra-kāśāiandaniayanijasaṁvidviśrāntilakṣaṣena parabrahmāsvāda-savidbena bhogena paraṁ bhujyata iti" (G.O.S. ed., vol. 1, p. 277). Though it appears there in a characterization of Bhaṭ-ṭanāyaka's view, it is, along with most of Nāyaka's thesis, accepted by Abhinava.

45 … *that* (indeed)—but also *b*y—the percipient subject!

46 … doubtless accompanied, as it was for the Buddhist, by horripilation: "… ānandaikaghanatvam, tad evāsya māheś-varyam" (*I.P.V.* ad 1.8.11 [vol. 1, p. 423]).

47 Or, what is the same thing, the understanding of all things as mere possibilities—not as givens. "Which is to say: the understanding mat *is* all things … (Thus again does Abhinava "realize" the Buddhist position: "ata eva pratikṣaṇaṁ pramā-tṛsaṁyojanaviyojanavaicitryeṇa parameśvaro viśvaṇ sṛṣṭisaṁ-hārāināprapañati" [*I.P.V.* ad 1.5.10 (vol. 1, p. 239)]).

48 Perhaps the final symbol of the convergence of the aesthetic and practical modes. See also S. Visuvalingam's recent study: *Abhinavagupta's Conception of Humor* (Albany, 1987).

49 See Philip Wheelwright, "The Semantics of Poetry," *Kenyon Review* 2 (1940): 263–83, and, in general, the discussion of metaphor in Wellek and Warren, *Theory of Literature* (2nd ed., New York, 1956), 175ff. (ch. 15).

50 A position the Indians would not find troublesome.

51 These terms suggest Hegel's *für sich sein* and *an und für sich sein*. Contemplation that grasps that it (contemplation) is the central fact of being.

52 The authors have frequently indicated their puzzlement, and have occasionally thrown up their hands in dismay. Just one line of the text, however, is essentially corrupt, by Raghavan's judgment (*The Number of Rasas* [Adyar, 1940], 100). The rest will, if it is approached with the right set of expectations, yield a most adequate meaning. I follow V. Raghavan's edition (as did Masson and Patwardhan, for the most part), published in *Number*, 91–106.

53 In one passage, at least, of the *I.P.V.*, Abhinava refers explicitly to the rasas—and to śānta rasa —but enigmatically, and without implying the distinction that occupies him in the *śāntarasaprakarṇa* here translated: "… tathā antaḥkaraṇ-agocarīibhīutā api iti ko viśeṣaḥ | sukhaduḥkhaprāyās tu bharatādyuktarīupāḥ sthāyivyabhicārirīupā ratinirvedādāyo 'ntaḥkaraṇaikagocarīibhīutā bahirātmanā bhānti…" (*I.P.V.* ad 1.8.9 [vol. 1, pp. 419–20]). The realm of rasa is inner immediacy, just as

immediate as that of the "outer"—but manifesting perhaps the essentially reflective immediacy that, with cultivation, will enable us also to overcome the more obdurate exterior immediacy—that does not appear as "reflective."

54 This is one of the flaws of Masson's and Patwardhan's translations generally.

55 Supra, n. 17. Also see *I.P.V.* ad 1.8.1 (vol. 1, p. 401); ad 1.5.13 (vol. 1. p. 253).

56 Supra, n. 37. Also see *I.P.V.* ad 2.1.8 (vol. 2, p. 27), and ad 1.8.11 (vol. 1, p. 423).

57 "…tatrāpi kvacit ābhāse prarnātṛn ekīikaroti nitambinīinṛtta iva prekṣakān" (*I.P.V.* ad 1.5.10 [vol. 1, p. 239]); *S.K.* 59.

58 "sā hi arthakriyā ābhāsabhedaniyatā । tathā ca kāntābhāsasya bāhyatve 'pi sati ābhāsāntarasya āliṅganalakṣaṇasya vyapagame dīurīibhavati, iyam iti ca ābhāsāntarasya upagame 'nyaiva prāktanāhlādaviparitā dṛśyate arthakriyā" (*I.P.V.* ad 1.8.6 [vol. 1, p. 414]; also ad 1.8.5, etc.). The simile seems unmotivated, except as providing vividness.

59 "… tasyāḥ (citikriyāyāḥ) pratyavamarśaḥ svātmacamatkāralakṣṇa atmāsvabhāvaḥ । tathā hi ghaṭena svātmani na camatkriyate, svātmā na parāmṛśyate, na svātmani tena prakāśyate…। cattreṇa tu svātmani aham iti saṁrambhodyogollāsavibhūtiyogāt camatkriyate, svātmā parāmṛśyate, svātmany eva prakāśyate" (*I.P. V.* ad 1.5.13 [vol. 1, pp. 250–51]).

60 Compare *I.P.V.* ad 1.8.5 (p. 409); ad 1.8.11 (p. 422: … *viṣayoparāgamahimnā* … 423); with *N.Ś.* (G.O.S. ed.) p. 337: … *yat kāluṣyoparāgaviśeṣā evātmano ratyādayah*.

61 Cf. *I.P.V.* ad 1.4 passim, esp. kārikās 5 and 6.

62 "tathā parāmarśanam eva ajāḍyajīivitam … svātantryarīupaṁ svābhāvikam avabhāsasya svātmaviśrāntilakṣṇam ananyamukhaprekṣitvaṅ nāma" (*I.P.V.* ad 1.5.11 [vol. 1, pp. 242–43]).

63 "…nirvimarśatvāt jaḍam" (ibid.).

64 "…iti asmadarthaviśrāntiḥ" (*I.P.V.* ad 1.5.17 [vol. 1. p. 276]); "yata īiśvara ity api parāmarśaḥ sa īiśanaśīile jñātṛtvakartṛtvatattve viśrāmyati" (ibid., p. 275).

65 See also n. 180, below.

66 The reference is to *Nātya Śastra* 6.15, which in the traditional reading, states the standard eight rasas:

> śṛṅgārahāsyakaruṇā raudravīirabhayānakāḥ ।
>
> bīibhatsādbhutasaṁjñau cety aṣṭau nātye rasāḥ smṛtāḥ ॥

These terms, in Sanskrit, are sometimes nouns, sometimes adjectives; remembering that *rasa* is a term that means 'taste,' 'flavor,' or 'sentiment,' die names of the various rasas should doubtless be taken as descriptive adjectives: the "heroic" sentiment, etc.—or their appropriate abstractions: "heroism" (as a kind of sentiment). So "tranquillity."

[67] The argument so summarily here stated follows closely Bharata's outline of śānta rasa (G.O.S. ed., vol. 1, pp. 332–33), and is intended as a reply to an opponent's view that śānta is *not* a rasa, because it has no *sthāyin*, and cannot be produced, or portrayed. See the following discussion. The terms *vibhāva* and *anubhāva* are part of the technical vocabulary of the natyasastra, and designate (roughly) the 'conditions' which a particular rasa presumes (and which, being in evidence, will be sufficient to provoke that rasa), and the 'resultant manifestations' of that rasa—such consequential behavior as is suitably associated with that rasa as its expression. E.g., for die erotic: "moonlit nights" and a "distracted air."

[68] I.e., no proper *sthāyin* has been named.

[69] I.e., *śama* is not mentioned by Bharata among either the *sthāyibhāvas* (8), the *sāttvikabhāvas* (8), or die *vyabhicāribhāvas* (33).

[70] I.e., the sense of tranquillity does not arise immediately after witnessing them, but (see next) only after some intermediate event.

[71] The first occurrence here of this crucial term.

[72] Implied in this argument is the view that die vibhāvas are *immediate* preconditions of the rasa with which they are associated.

[73] The note of Masson and Patwardhan to this term [*vipakṣāt*] (*ŚAPA*, 121) is unnecessarily confused. *Vipakṣa* here has its logical sense of 'the anti-locus,' that is, die domain where the term to be proven (*sādhya*) is never observed: e.g., a "lake," in the case of "is on fire." The *pakṣa*, of course, is the mountain, etc. Abhinava means then quite directly what Masson and Patwardhan propose after considerable contortion: because the "absence of desire" is often observed where śānta rasa is impossible (for instance, in die hāsya rasa), it cannot be considered an *anubhāva* of śānta.

[74] Masson and Patwardhan do not appear to have translated this term (*agamakatvāt*); die idea is that die "absence" of an emotion does not convey an affective response in die same way die presence of an emotion does. The "absence" of one emotion, perhaps, is die same as die absence of any other…

[75] Lit., 'breathing out' (*nihśvāsa*) and 'breadiing in' (*ucchvāsa*).

[76] The compound *prāptaviṣayoparāgaḥ* I take to be a bahuvrīhi with a tatpuruṣa as final member. *Prāpta*, it seems to me, is intended here in its 'śātraic sense of Ìpatent, presumed.' "prāptasya punar upadeśe na kiñcit prayojanam asti" (Kumārila ad *P.M.S.* 10.8.40). "Steadfastness," in other words, is usually seen in cases of determined pursuit of objects, goals, etc. But (in this pakṣa at least) śānta cannot be thought of as "goal-oriented." Masson and Patwardhan (*ŚAPA*, 121, note) take *prāpta* widi *viṣaya* (as in die unusual grammatical compound *prāptodakaḥ* [*grāmaḥ*?]—yaṁ grāmaṁ prāptam udakam, sa prāptodako grāmaḥ). But as die example shows, what is "reached" (me direct object) is die extrinsic head (me "village"), not the term in agreement ("water"). Pandit Srinivasa Sastri's explanation (though it does not seem to have been understood by Masson and Patwardhan as we have done) is doubtless the correct one.

[77] This directed at die diesis that if "absence of passion" does not produce die rasa, at least it may produce die intermediate condition: *tattvajñāna*.

[78] The use of an impersonal passive leaves us in some doubt as to whether the view presented here may be strictly identified as Abhinava's position. But of course it is not unusual for classical authors

to seek an impersonal mode of expression. Abhinava, too, rarely rejects *in toto* the views of his interlocutors.

79 *iha* probably refers to the world of kāvya: belles-lettres—rather than (as Masson and Patwardhan), 'in this world.' The context of the sentence supports this. It would be odd for Abhinava to take so historicistic a stance as Masson and Patwardhan suggest (*ŚAPA*, 122, note); rather Abhinava is probably stipulating the accepted fact that the triad is the staple of kāvya; the fourth *puruṣārtha*, however, though equally well known, is *not* well established in kāvya, but is attested in the other genres, of which he names three.

80 I.e., why may they not be capable of being expressed as rasa?

81 The rasa, of course, is always pleasurable, even though the raw emotional state on which it is based is not always so. The play, in general, is seen as means to that transmutation into "bliss." Abhinava's point is that, qua *cittavṛtti*. nothing *prima facie* excludes the fourth *puruṣārtha* from this rasatransformation.

82 The argument so far, as can be seen, is by indirection: *if* the *puruṣārthas* are parallel in other respects, why not in respect of rasa? But *if* so, then what shall we call the bhāva thereby implied? (All rasas must have an emotional basis.) I don't think Abhinava has declared his view yet.

83 *nirveda* may mean both 'indifference' and 'revulsion'; it is apparently intended in this latter sense by Bharata, who lists it as the first *vyabhicāribhāva* (6.18); the partisans of the view here presented (definitely not Abhinava's, as will be clear) have apparently sought to kill two birds with one stone: they discover a *sthāyin* suitable to śānta, but one that is mentioned in Bharata. Thus they have a "new" bhāva without violating the 49-bhāva limit! By adding the discrimination: *tattvajñānotthita*, the sense of *nirveda* is restricted to the former of the two senses. Gary Tubb [personal communication] has suggested for *nirveda* the translation 'disillusionment'—which is fine, provided the specifically ethical (and Indian) shading of the term is stipulated: that sense of futility following upon the recognition of the transiency of all attainments, and leading to die desire for liberation.

84 See preceding note. "Revulsion" is here meant. In what follows, the tendency will be to discriminate this "worldly" [*laukika*] sense of *nirveda* from the other (ipso facto) *alaukika* sense. "Revulsion" involves a surfeit of emotion; "indifference," none.

85 The (*sthāyi*)*bhāva*s are given in 6.17; the *vyabhicāribhāva*s in 6.18–21. *Nirveda* is the first *vyabhicārin* listed. The defender of this view is alleging that *nirveda* may be read as the last *sthāyin* (in one sense), or the first *vyabhicārin* (in the other).

86 I.e., if *nirveda* were intended only in the second—inauspicious—sense (viz., 'loathing') it would never have been mentioned first (the auspicious position) among the *vyabhicārins*. Masson and Patwardhan regard this as a "weak argument" (*ŚAPA*, 123, note), but indeed among Indian interpreters of canonical texts, it figures as a very powerful one. Cf. the grammarians' *jñāpaka*. (This is "authorial" intention authenticated!)

87 *jugupsā* is given as the *sthāyibhāva* of the rasa *bībhatsa* 'the fearsome'; yet Bharata (text 6.45/46: [G.O.S. ed., p. 306]) denies its use as a *vyabhicārin* in *śṛṅgāra*. The clear implication is that he views the *sthāyibhāvas* as "stable" in relation to their primary rasa, but, in relation to others (where they may also occur), as "transitory." The category is thus relative, and not absolute.

[88] The text reads ambiguously: *bhāvānāṁ sarveṣām eva*. Masson and Patwardban take this to refer literally to "all the bhāvas"—the *sthāyi-, vyabhicāri-, sāttvika-,* and *anubhāvas*—which would make the statement appear to say that any one of them can become any odier of them—circumstances demanding. They adduce a passage in the *Locana* (pp. 174–75, N.S.P. ed.) in support of Abhinava's acceptance of this view. But that passage, like this one, is clearly labelled as a representation of an alternative standpoint (… *iti kecid vyācacakṣire*), and the text does not unambiguously support even the broad interpretation they give it. The statement of Ānandavardhana's on which the comment is made (*etac ca sarvaṁ yeṣām raso rasāntarasya…*) asserts only the view that one *rasa* may be *vyabhicārin* to another, and the question seems to be whether the other "rasa" really means 'rasa,' or (as the others believe) 'bhāva.' In our present case as well, the passage makes perfect sense as referring only to the supposed "stable" bhāvas—the question dien being whether they must always be "stable" or may also function as transitory bhāvas. It is hard enough to conceive what Abhinava may mean by suggesting that the stable bhāva may become as well an *anubhāva* or even a *sāttvika* bhāva (see next), without making him say that *sāttvika* bhāvas and *anubhāvas* (to say nothing of the 33 *vyabhicārins*) may become stable bhāvas! That would imply that there should be a rasa corresponding to the transitory bhāva *maraṇa* 'death!'

[89] *cittaja* is a synonym for *sāttvika*(*bhāva*)—a special kind of *anubhāva* which appears to be differentiated from the general class only because it is (normally) involuntary, and thus not easily simulated on the stage—sweating and horripilation are examples (*N.Ś.* 6.22). According to R. K. Sen, the *sāttvika* bhāvas are also signs of the veracity of the rasa experience in the spectator (*Aesthetic Enjoyment* [Calcutta, 1966], 264ff.). He traces their discussion (and much else relevant to the rasa theory) back to the medical literature. See esp. his treatment of *nirveda* [pp. 295–300].

[90] If this text is genuine, it represents a point of view not otherwise advanced (as far as I know) by anyone, including Abhinavagupta. Whether the *sthāyin* may assume the character of a *vyabhicāribhāva* is of course another matter. But it is hard to see what Abhinava may mean by allowing a stable emotion (such as "sexual passion," or the present "disgust") the status of an involuntary bodily reflex!

[91] Masson and Patwardhan are puzzled by this statement, but surely it is the capstone of the position being advanced here, which begins with the observation that there is a bhāva (viz., *nirveda*) that may be both *sthāyin* and *saṁcārin*, proceeds with the observation that Bharata allows this flexibility to all the (*sthāyi-*) bhāvas, and now concludes with the clincher that this one is so potent as to supersede the others (which, in relation to it, are "by nature" transient!). What die text means then, is only that *nirveda* must be the *sthāyin*, whenever it figures in the context of the odier bhāvas, not that it "cannot… tolerate the presence" of the others (*ŚAPA*, 124, note).

[92] This "investigation" is directed at the position stated, not *by* those holding the position ("They also raise die following objection…," *ŚAPA*, 124).

[93] Masson and Patwardhan take this as an objection. It is, in fact, Abhinava's position.

[94] The model Abhinava is anticipating here is, in fact, the reverse causal chain: *nirveda* causes *tattvajñāna*. So if it is asserted that a certain *vibhāva* (say, detachment) causes *nirveda*, it will not be the *vibhāva* of *tattvajñāna Nirveda* itself is (as Abhinava will say) the *vibhāva*. One *vibhāva* does not condition another, in normal usage.

[95] The reverse had been maintained by the opponent: "knowing the truth" was the source of "indifference."

[96] *Sāṃkhyakārikā* 45. This implies dial the position Abhinava is here examining is held by some or all Sāṃkhyas. Indeed, the Sāṃkhyas hold that *tattvajñāna* is alone the cause of liberation, and this kārika explains that even detachment (without it) results in a return to samsara. By conflating *nirveda* with the *vairāgya* of the Sāṃkhya, Abhinava makes his opponents agree with his view—that *nirveda* is not the immediate cause (and therefore the *sthāyin*) of mokṣa/śānta. Suddenly, the ambiguity between śānta and mokṣa has become acute.

[97] *Yogasūtra* 1.16. Abhinava seems not to distinguish here the Sāṃkhya and Yoga darśanas, referring to partisans of both as *tatrabhāvantaḥ*.

[98] As Masson and Patwardhan point out, this quote (approximately) appears in Vyāsa's gloss ad *Y.S.* 1.16 ("jñānasyaiva parā kāṣṭhā vairāgyam"), but Abhinava attributes it to Patañjali himself (using an attribute "whose lord is the serpent" that usually belongs to the Vaiyākaraṇa Patañjali—which implies also that Abhinava thought die two Patañjalis one). The first confusion is more curious than the second.

[99] Throughout this passage, which we take to be a Sāṃkhya view, no distinction seems to be drawn between śānta and mokṣa. It is on this ground alone not Abhinava's final position. Similarly, the terms *sthāyin* and *hetu* are used, if not synonymously, at least interchangeably.

[100] Masson and Patwardhan (*ŚAPA*, 125, note) take this as "Abhinava's own position," but are puzzled by the optative *bhavet*. If I am right in seeing here a Sāṃkhya thesis under examination, there is no problem: Abhinava is saying somewhat magnanimously: even they would have to accept this view—which (indeed) is close to my view! He has not yet announced his own position, but this argument does anticipate it: *tattvajñāna* will be an essential element, but not the entirety.

[101] I.e., because of a deception based on a mistaken judgment. This mundane "knowledge" is of course not the *tattvajñāna* which results from the cessation of a transcendental error. See nn. 83 and 84, above.

[102] Presumably, in the commentary on *N.Ś.* 7 (the *bhāvaprakaraṇa*), now lost, except for a short section at the beginning.

[103] Gautama. The reference is to *Nyāyasūtra* 1.2. The Sāṃkhya here defends the view that indifference may be the effect of knowledge (as cause).

[104] The point is not that they are "the same thing" (*ŚAPA*, 127; note), but that *nirveda* belongs to the genus *vairāgya*—hence falls under the scope of the sūtra cited. The net effect would be to salvage *nirveda* as a possible *sthāyin* of śānta.

[105] We are still attempting to ascertain the purport of *N.S.* 1.2. The two paksas considered appear to be based on the two senses of *nirveda*. See above, nn. 83, 84 and 101.

[106] Viz., *tattvajñāna* [*N.S.* 1.1]. If we accept die view that *vairāgya* cum *nirveda* is a consequence of *tattvajñāna*, we will simply have adduced an intermediate cause between *tattvajñāna* and mokṣa—the ultimate effect in the causal chain. Abhinava explains that it is for this reason that *vairāgya* was not mentioned in the sūtra—even if it be regarded as a consequence; the operative cause of mokṣa is still *tattvajñāna: vairāgya* is only an intermediate condition—something like the stick between the potter's hand and the pot Masson and Patwardhan have translated *svakāraṇavaśāt* loosely (or not at all?): *sva* must refer, not to *mokṣa*, but to *nirveda*.

[107] Masson and Patwardhan (*ŚAPA*, 127–28. note) have, I think, misunderstood this passage. It is not, as they aver, the siddhāntin's position, but continues the indirect argument against those Naiyāyikas who assert *nirveda* as the *sthāyin* of śānta rasa. The difficulties alleged disappear when it is remembered that Bharata (in the probably spurious *śāntarasaprakaraṇa*) has mentioned *śama* as the *sthāyī* of śānta (see above, note 67); it is this view that those who adduce *nirveda* are attempting to rescue (supra, notes 68, 83). Abhinava is here saying simply that if this *nirveda* had been intended by Gautama as a proximate cause of mokṣa (and hence a possible *sthāyin* of śānta), be could hardly have failed to mention it—for it would have supported die view that the *śama* mentioned by Bharata was indeed the *sthāyin*! The only stipulations that would have had to be made are that *śama* and *nirveda* be synonyms (and this is easily granted), and that *śama* and *śānta* be related as the names for *bhāva* and *rasa*—according to one of the criteria stated. The fact that Gautama did not take this straightforward route proves conclusively that he did not accept *śama* as *sthāyin*, and that those of his followers who do, are wrong. It is, of course, the case that the siddhantin would not disagree with the view here expressed.

[108] It is odd, perhaps, that Abhinava dismisses with such a flourish the view that in our editions of the śānta rasa section seems to be Bharata's also. V. Raghavan (*Number*, 15–16) adduces this is still another reason for considering the *śāntarasaprakaraṇa* spurious. Certainly, the view on which Abhinava is commenting takes its major stand on *nirveda*, not on *śama*, but this may be a sign only that Bharata's view had been by Abhinava's time superseded. The view now attributed to Bharata is —here and at the beginning of the commentary—considered by Abhinava (c.f n. 3, p. 35).

[109] Viz., the eight *sthāyibhāvas* of the eight canonical rasas.

[110] This is perhaps not, as Masson and Patwardhan have taken it, simply a reference to upanisadic study, but (in keeping with the parallelism of the example) also an intentionally ambiguous reference to esoteric tantric sexual practices.

[111] I.e., the *alaukika* form of *rati*—again, a reference to the tantra.

[112] *Bhagavad Gītā* 3.17.

[113] *vismaya* is the *sthāyin* of *adbhuta* rasa, typically the last of the eight mentioned.

[114] *N.Ś.* 1.17 reads:

> ratiś ca hāsaś ca śokaś ca krodhotsāhau bhayaṁ tathā ।
>
> jugupsā vismayaś ceti sthāyibhāvāḥ prakīrtitāḥ ॥

The several *ca* 'and' in this sloka are alleged to justify reference to bhāvas other than the eight named—particularly the *alaukika* forms of each that are the ground of śānta.

[115] This is one of Abhinava's most telling remarks—directed against those who, despairing of fixing one bhāva as the *sthāyin* of śānta, would allow any of the bhāvas (alternately) as *sthāyin*, and thus not preserve die distinctiveness of any rasa; this applies as well to śānta: however unusual or differently motivated it is, it cannot be reduced to the others (or the essence of the others: see Gerow and Aklujkar, "On Śānta Rasa," 81).

[116] I don't think Masson and Patwardhan have got the exact flavor of this sally. It does not claim that the bhāvas, on the opponent's view, "would cancel each other out"—but rather that the *nation* of *sthāyin* itself has been sacrificed, if it is made conditional on variation among the other bhSvas. The assertion of a conditional *sthāyin*, in fact, contradicts itself—not that it is "(as good as) already refuted" (*ŚAPA*, 129).

[117] I.e., even the "śānta rasa" which this paksa hopes to justify would disappear in a myriad of private "rasas." I agree with Masson and Patwardhan here (*ŚAPA*, 130, note).

[118] This view must have been intended as a reply to the deficiencies alleged in the former position. Only by mixing mem up does die sthāyin emerge!

[119] This I take to be Abhinava's first sketch of his siddhānta. The impersonal *ucyate* is not too surprising, inasmuch as the question of *tattvajñāna* has already been broached in reference to the Sāṁkhya position discussed above. The difference between that statement and this is one of modality only: there it was asserted that the (Sāṁkhya) position under discussion would amount to identifying *tattvajñāna* as the *sthāyin*—if understood correctly; here that implication is taken as basis for the further statement of the siddhāntin's position. As we will see, it is not *tattvajñāna* as such that Abhinava accepts as *sthāyin*, but the ground of *tattvajñāna*—the ātman.

[120] My translation [*tasyaiva mokṣe sthāyitā yuktā*] attempts to retain the distinction (which I feel is essential to Abhinava's thesis) between the domains of art and reality. *Tattvajñāna*, if it is a means to the achievement of mokṣa, is also a *sthāyin* where mokṣa is represented. The "oddness" in the reference to mokṣa (*ŚAPA*, 130, note) stems only from Masson and Patwardhan's determination to obscure this distinction.

[121] *anātmāiva*: could this be a bahuvrīhi—'have no (mundane) self'? In other words, the Self cannot be known like external objects, and yet must, because immanent in all knowledge, be knowable! This understanding agrees with K. Bhattacharya's: "l7#x0027;atman, étant un autre (*para*), ne serait qu'un non-*ātman* (*anātman*)" (*"Śāntarasa* et Advaita," 90).

[122] Perhaps Bhaṭṭa Tauta, his teacher in poetics, or Lakṣmaṇagupta, his teacher in Pratyabhijñāa. Abhinava also uses the honorific plural in referring to his teacher (there doubtless Tauta) in the *Bhāratī* [G.O.S. ed., p. 274].

[123] Of course we cannot be sure what Abhinava intends here—the works of his teachers have not survived. But I must register my disagreement with Masson and Patwardhan who consider these obscure phrases "very clumsy." Such an imperfect judgment reveals only their determination to force a view on the words—which I have taken literally, and I think, made them say what they can. Indeed, considerations of grammar alone would rule out their translation: "The knowledge of any object other than the Self is die knowledge of worldly objects. For anything that is different from the Self is nothing but nonself." Abhinava is simply pointing out that the "Self [*para ātmā*] exists on a different level of reality man do die mundane "selves"—and so its poetics would also involve an element of transcendence. I accept Raghavan's reading *viṣayasyeva*.

[124] *parikalpitaviṣaya*: "objects" (in the mundane world) are always presented to, or postulated by die Self—they do not correspond to its "nature." Masson's and Patwardhan's "imagined" (*ŚAPA*, 131) is too Buddhist!

[125] This, finally, is Abhinava's siddhānta. Its examination will occupy the rest of the *śāntarasaprakaraṇa*.

[126] Masson's and Patwardhan's translation is garbled, but I think we agree on the sense.

[127] *bhitti*: is it only our Platonic upbringing that makes us hear echoes of the cave in this metaphor? Masson and Patwardhan see rather the "canvas" of the painter—which, albeit attractive, is not supported by the lexica (cf. s.v. *citrabhitti* [BR, 5:279]).

[128] It would be difficult, on the basis of this line alone, to claim that *tattvajñāna* was *not* an 'emotive state' [(*sthāyi*)*bhāva*]!

[129] This remark does not necessarily prove that our text "is not likely to be precisely the one that Abhinava commented upon" (*ŚAPA*, 35, and note): the fact that *tattvajñāna* has been mentioned among the *vibhāvas* of śānta is not germane to Abhinava's point here.

[130] This is not as great a concession as might at first appear, for all the "stable" emotions may, on occasion, serve as "transitory" emotions to another *sthāyibhāva*. Abhinava is saying, though, that the process of conversion is here not occasional, but natural.

[131] But the bull with fully developed boms would be a third! By this remark, Abhinava seems to assert that *tattvajñāna*, and by implication *śānta*, are genera—something like *bhāvatva* and *rasatva*. It should be remembered that his concern here is to account for Bharata's "failure" to mention the "ninth" items. I think the point of the comparison is rather that, existing on a different level of being, they need not be "counted" among entities they inform; they are indeed not separable from (= not opposable to) die ofher rasas, being presumed by them. Whedier this makes them into Aristotelian *genera* is an open question. Note also that 'bovinity' [*gotva*] here is intended as rhe abstract universal [*sāmānya*], which on the usual Indian view, does not comprehend the individuals—and is more akin to a property [*dharma*] than what we would call a genus. Putting it on the same "counting" level as the *viśeṣa* is clearly improper.

[132] we have established that there is no need to mention *tattvajñāna*. Now we advance a positive reason for not mentioning it.

[133] Abhinava means that me "blisses" associated with sex, heroism, etc., appear to be different; when one occurs, the other does not, etc. The "bliss" of the Self of course is not "separable" in this sense—but ubiquitous. The reading *āsvaāayogāt* which Masson and Patwardhan prefer (contra Raghavan) is clearly a *lectio facilior*, and I see no reason to adopt it. If adopted, nevertheless, the line would refer to the 49 bhāvas, not to *tattvajñāna*: "why have they been separately mentioned? Because their respective blisses are discriminable…."

[134] … answering the question: why. if it is ubiquitous, are we not constantly aware of it?

[135] … because these states appear to be predicated of it: "the Self experiences (sexual) joy, etc."

[136] A *vyutthānasaṃskāra* is one that is not suppressed, when those that are suppressive are: see *Y.S*. 3.9. Normally, such samskaras are cognized only during meditation, etc.

[137] This accounts for the "appearance" of the Self, seemingly as transitory, and as associated with the other states of consciousness. But it is not for these reasons to be "counted separately."

[138] This is not really a "concession" on Abhinava's part. It is simply a restatement of the implication of the preceding conclusion. The Stman does appear so in the world—whatever it may be really. Thus there is no reason to attribute mat conclusion to a "*pūrvapakṣin*" (*ŚAPA*, 131, note).

¹³⁹ On the level of appearance, the *appearance* of the ātman (in meditation, etc.) would otherwise justify the separate counting of *sthāyibhāva*, etc. But as explained above, this *sthāyin* is a *sthāyin* of a different sort—*not* "apparent" (as are the eight bhāvas).

¹⁴⁰ And even the bhāva underlying śānta would have been "transitory"—that is, apparent.

¹⁴¹ I.e., self-contradictory. We now address the question: is this rasa capable of dramatic representation? It is interesting that this section has presented more problems to Masson and Patwardhan than any other—probably because they were determined to understand it as "philosophic" (*ŚAPA*, 130, note). The problems for the most pan disappear when Abhinava's reference is seen as the *play*.

¹⁴² Perhaps in the sense that "variety is the spice of life"—and certainly of the other transitories— which are ever arising and disappearing.

¹⁴³ The view that "the Self is subject to diversity" is on its face inadmissible. I follow here Visuvalingam's understanding of the series of *hetus enchainés* as referring to stages of aesthetic experience.

¹⁴⁴ As the *sthāyibhāva* of śānta, in the section of the text we are now commenting on. What Bharata intends by *śama* will help answer the question of the rasa's payability.

¹⁴⁵ Referring doubtless to the dispute among the pūrvapakṣins with which the commentary began: "some say…'peace,' others… 'indifference'." Supra, n. 67.

¹⁴⁶ Masson's and Patwardhan's puzzlement at this line stems perhaps from not having appreciated the implications of the term *tadvyapadeśya*—Patañjali the grammarian's term for metonymy. The issue is how two different things can have the same *name*. Now neither *rati* nor *bhaya* (which stand here for the *sthāyibhāvas* of the eight rasas), when considered from the point of view of their various causes (or, in the drama, their *vibhāvas*), appears to be a single phenomenon—and yet, because of other similarities, a single term is used. Abhinava's point here is not only that the *laukika* and *alaukika nirveda* are called by the same term; he thereby implies (this is the main point) that any difference between the *alaukika nirveda* and *śoma* may be discounted.

¹⁴⁷ The terms of the predication are reversed.

¹⁴⁸ See above, n. 137. Or: "remains in a state of utter tranquillity even after the meditative recognition (i.e., the return to normal consciousness: *vyutthāna*) is accomplished" (so Visuvalingam).

¹⁴⁹ *Y.S.* 3.10. Masson and Patwardhan do not translate this sutra, and profess to see no relation between it and the preceding remark of Abhinava's. I do not see their problem: *praśāntatā* expresses exactly Abhinava's view that the "colorations" are essentia] to the experience of "tranquillity"—for it is the recognition of them as transient that leads the aspirant to a cognition of the permanent self. Throughout this section, Bharata's *śoma* is shown to imply various views consistent with Abhinava's view that the purification of the Self is an apt theme of poetic (as well as metaphysical) discourse.

¹⁵⁰ *yamanīyama*: the first two stages of Yogic discipline; see n. 21, above.

¹⁵¹ *upāṅgābhinaya*: the reference is to chs. 8–10 of the *N.Ś.* Masson and Patwardhan (*ŚAPA*, 132, note) take this sentence as a truism: "Its anubhāvas are anubhāvas…." But, surely, Abhinava is here asserting the three kinds of *anubhāva* suitable to śānta: *tadanubhāvā eva* presumes its logical subject

from the immediately preceding *kalāpaḥ svabhāva* I understand as a reference to the *sāttvikabhāva* (supra, n. 89: *cittaja*).

152 The problem of śānta's *anubhāvas* has now been solved: they are not the "absence" of certain states (supra, n. 67), but may be found among three positive categories: *laukika* mental states understood as transient; *alaukika* (yogic) mental states; and among certain gestures natural to śānta. Again, the dramatic force of śānta is the issue. The question of *anubhāva*— to which the entree was provided by the discussion of *śama*, above—is after all the key issue where the play's payability is met. The questions of *anubhāva* and *abhinaya* are inseparable; Bharata constantly links them.

153 The remark seems to me to follow appropriately (*ŚAPA*, 132. note). The play is playable if it has suitable *anubhāvas*.

154 The *atra* does not seem to have been picked up by Masson and Patwardhan.

155 In the first case, a *vyabhicāribhāva*, in the second, an *ālambhanavibhāva*. I think Abhinava means that, as subsidiary elements, they are, though adventitious and impermanent, enjoyable—and indeed, because they are impermanent, they are enjoyed.

156 A *vyabhicārin* associated with *raudra* (G.O.S., vol. 1, p. 321).

157 These are variously *vibhāvas, anubhāvas* or *vyabhicāribhāvas* of the rasas in question. The same remark applies.

158 I think Abhinava is not using these terms here in their narrow technical sense: as objects of enjoyment, these impermanent states and conditions occupy the center of our attention.

159 In this passage, Abhinava stresses the similarities of śānta, on a dramatic level, with the other rasas, despite the metaphysical arguments adduced earlier which isolated it. It seems to me that the "main point" (*ŚAPA*, 133, note) of his argument is that śānta may be *enjoyed*—precisely because, in presentation, it employs (*a fortiori*!) the same technical means as the other rasas. In addition, its surface texture is often provided by the other rasas!—though one must be careful to observe that when they appear to be primary, it is just an appearance.

160 Abhinava's point is probably that such practices are also "antagonistic to passion." The remainder of this line is "very corrupt" and difficult to emend (Raghavan, *Number*, 100). It may refer to other tannic or yogic practices apparently "disgusting."

161 As in the preceding cases, "disgust" is a necessary ancillary to achieving equanimity. As Masson and Patwardhan point out (*ŚAPA*, 133, note), the begetting of children by levirate should not involve any intentional delight, but proceed from duty alone.

162 *utsāha*: the *sthāyibhāva* of *vīra* rasa. Even this, in the sample, is subordinated to a transcendent, and apparently emotion-free, condition. Masson and Patwardhan appear to take this statement as a general observation, not as further comment on the levirate. But I think Abhinava's point is that even such matters are within the scope of drama.

163 I.e., who has realized in himself the Self.

164 *etat*: referring, I think, to the *utsāha* of the preceding line.

165 I see no evidence that it is śānta rasa that is being called *dayāvīra*, etc. (*ŚAPA*, 133)—although it is clear that such scenes will be the staple of those works emphasizing śānta rasa. In all these

examples, the antinomy "energy/peace" is orchestrated in such a way as to (1) make clear that peace is the primary term; and (2) that die "attractiveness" of the scene (which none would deny) is a function of the secondary term.

166 *ahaṁkāra*: lit., the 'I-term'. The principle of the narrow. individual "self" or Ego.

167 Does Abhinava have the *Śākuntala* (act 5) in mind?

168 *Nāgānanda* 4.2. The discussion of this play—as a possible locus of śānta rasa, will now be taken up. Note that Abhinava introduces the subject with a quotation, focussing our attention on the dramatic manifestation—a quotation which incidentally marks die major transition in the play, from lovers' intrigue (acts 1–3) to scenes of compassion and self-sacrifice (acts 4 and 5).

169 Masson and Patwardhan (*ŚAPA*, 133) take this as a direct reference to śānta rasa. That is possible, but given die earlier reference to M tranquil" minds, not entirely clear.

170 *Gautamadharmasūtra* 1.9.34 (Ānandāśrama ed., p. 63). The commentator, perhaps a New Yorker, adds: eko na gacched adhvānam…

171 Source unknown.

172 *patet*: viz., throw himself into… The root *śru* 'hear' and derivatives, generally indicate that the source is a revealed text If so, this one is unidentified. Masson and Patwardhan (*ŚAPA*, 134, note) call attention to die legend of Abhinava's entering the Bhairava cave, never to be seen again.

173 The ascetic hero of the *Nāgānanda*. The play provides die sub-text for this entire discussion. Jimutavihana was a king and *vidyādhara*, not a *yati*. The objection is literal.

174 Ergo, heroism of this sort is not really compatible with śānta: die hero of this sort is not so much abandoning his body (which could be taken as a form of asceticism), but seeking conquest: Arjuna's very problem!

175 Lit….. tiw hope gapes [*vijṛṁbhate*]. The language is also resplendent. Is Abhinava being ironic?

176 A very active ethic is superimposed here by Abhinava on the Indian ideal of ascetic withdrawal. All meritorious activity is derived from *tattvajñāna*! And if this be the case, the utility of witnessing dramas and die like will not be compromised!

177 Source unknown.

178 Intention [*abhisaṁdhi*] and result [*phala*] are both important.

179 The prior discussion has dealt with the question of śānta as a *pradhāna* rasa. This is what is implied in the search for its *sthāyibhāva*: if such a *sthāyin* can be found, ipso facto, śānta is a possible "major" rasa in a work of art. But the rasas also frequently figure as subsidiary to another (as *pradhāna*). Ānandavardhana, in book 3 (vs. 18ff.) of the *Dhvanyāloka*, discusses the "blending" of rasas, emphasizing that the quality of the work is often a function of maintaining the primary rasa in and through its dynamic contrasts [*aucitya*]. In this section of the commentary, we take up the even thornier question of śānta as a possible "subordinate" to other rasas. This of course is the usual mode of its appearance in drama—but Abhinava's theoretical defence of śānta makes it very difficult to see how it could possibly be subordinate to anything—its *sthāyibhāva* being, by nature, *sthāyin*, etc.

¹⁸⁰ *viśrānti* seems intended here as a synonym of *śama*, above. But since "peace" (qua "knowledge of the truth") is the stable basis of śānta, a different term is needed to designate the "cessation" of a subsidiary rasa. The subsidiary will by its nature be appearing and disappearing—this applies to all rasas (cf. the discussion of *bhāvaśānti, bhāvodaya*, etc., in *Kāvyaprakāśā* 4.36 [Ānandāśrama ed., pp. 130ff.]). Abhinava's point is that just as *śama* may be found at the center of the energy of the primary rasas, so does a "coming to rest" [*viśrānti*] figure in the nature of the secondary, *viśrāntitābha*, according to Masson and Patwardhan, means *rasapratīti* (*ŚAPA*, 135, note, and text: "the attainment of 'repose' [i.e., aesthetic enjoyment]"). This, though not incorrect, is too general for the context: see my note 6, Gerow and Aklujkar, "On Śānta Rasa," 81.

¹⁸¹ *vīrāṅge* is a tatpuruṣa, not a karmadhśraya (*ŚAPA*, 135: "... though this aesthetic repose is only secondary")! The idea that *viśrānti* and *rasa* are synonymous has misled Masson and Patwardhan throughout this passage. Abhinava means that the act of self-abnegation here is secondary to the main rasa of Rāma's character: the royal "heroic." (But is this the main rasa, if the *Uttarakāṇḍa* be considered?)

¹⁸² Again, it is not *śṛṅgāra* that is subsidiary here, but śānta in relation to *śṛṅgāra*!

¹⁸³ The query of Masson and Patwardhan on this line is unjustified. Abhinava is simply repeating for emphasis the implication of the preceding illustration, etc. Even as secondaries, a *viśrānti* is necessarily observed among the rasas. The use of *sthāyitva* in reference to a rasa is a bit puzzling, but I take it as a kind of haplology: "even though its bhāva is by nature stable, tranquillity…"

¹⁸⁴ I take this as one possible view, not necessarily the siddhānta. Another—closer to Abhinava's—is introduced below: *anye tu Jīmūtavāhanaḥ* … The person maintaining this point of view asserts that in the *Nāgānanda* śānta is a subsidiary, because the main theme is still "conquest"—acquisition of the three aims of man (*dharma, artha, kāma*). The hero employs *paropakṛti* to that end. The incompleteness of this sentence suggests that it is an aside. The problem raised by Masson and Patwardhan is thus avoided (*ŚAPA*, 136, note). Abhinava is not implying that śānta can "never be pradhāna …," but that, in this case, it may effectively be enjoyed, even though not.

¹⁸⁵ *N.Ś.* 18.11 (G.O.S., vol. 2, p. 412). The *nātaka* is the main among the 10 types of drama—and the theoretical model for the others. *Abhjñānaśākuntala* is an example.

¹⁸⁶ *jātyaṃśa*: Bharata enjoins various kinds of singing as accompaniments to the several rasas (*N.Ś.* 29.1–13) but does not mention sśānta rasa.

¹⁸⁷ I.e., the failure to mention santa means only that these kinds of chanting are inappropriate to it. The sequence of thought here is not easy to grasp. I think Abhinava is suggesting that the presence of worldly display in a drama is not in itself proof that śānta is absent—this would tend also to dispute the view adduced above that the *Nāgānanda*, because it involves such a display, is not *śāntapradhāna*. But of course the question can be raised: which sorts of display are appropriate? The remark *re* chanting means that some are not appropriate. If I am correct, Abhinava, as he often does, is here laying the groundwork, by reviewing the views of others, for his own view—which is that śānta not only can be, but is, predominant—in the *Nāgānanda*, especially.

¹⁸⁸ This view of Jīmūtavāhana contrasts with that mentioned earlier: "saving the old woman" was his accomplishment, rather than achieving the "three worlds." He did as little as possible, being powerless to do either great good or evil. The reference is to *Nāgānanda* 4.9 (Chowkhamba ed.). The quoted words are Jīmūtavāhana's, but he is paraphrasing the old woman, the mother of Śaṃkhacūḍa.

¹⁸⁹ Doubtless, because it makes it more difficult to argue that *rājavīrya*—energetic heroism—is the principal rasa of the play.

¹⁹⁰ I think this enigmatic reference is intended to explain the *śaktiś cet* of the preceding line: a bodhisattva will not expend his energy fortuitously (even if he has it); his principles (here: *saṁnyāsa*) must apply uniformly, not randomly—as crows appear, or (cocoa-)nuts drop. Thus is justified Jīmūtavāhana's lack of activity. On the *nyāya*, see *Mīmāṁsākośa*, 1433.

¹⁹¹ This we take to be Abhinava's stddhānta—not exactly that Jīmūtavāhana did nothing, but that his action was restraint of action: the *dayāvīrya* which Abhinava considers a synonym of *śāntarasa* (*Locana* ad 3.26, N.S.P. ed., p. 178)—and not a fourth kind of *vīrarasa*. Masson and Patwardhan have thrown up their hands at this passage (*ŚAPA*, 137, note); but the sense conveyed above is I think free of contradiction, and supports the view of the relation between santa rasa and *tattvajñāna* I have elsewhere defended. It is significant that the passages with which they have had the most trouble (acknowledged with a laudable frankness!) are precisely those that do not fit their thesis, Śanta, after all, is a rasa, and must be made to accord with its *aesthetic* kind.

¹⁹² *Y.S.* 4.27. The commentator explains that such cognitions as *asmi, jānāmi*, etc., are intended. Abhinava's point is perhaps mat even the yogin experiences bhāvas—and so in śānta also they may be suitably introduced. The play will thus have the surface texture of any ordinary play. As usual, Masson and Patwardhan see in this remark an effort to distinguish śānta from the other rasas. I see it asserting a generality.

¹⁹³ Not "… it is correct that there is no possibility of representing …" (*ŚAPA*, 137). Abhinava is again at pains to draw the parallel between santa and the other rasas, as far as staging is concerned. The issue in the case of *śṛṅgāra* is doubtless propriety; of *karuṇa*, perhaps impossibility—but more likely propriety also—for one should not represent death on the stage. In other words, the lack of final representation is not an argument against accepting śānta rasa.

¹⁹⁴ *N.Ś.* 28.58. See the note, *ŚAPA*, 137. Masson and Patwardhan take this as a remark tending to the implication that "concordance of the heart" is possible only for those who are adepts in śānta. Abhinava's meaning is that just as the other rasas succeed in tapping the otherwise implicit or latent states [*vāsanā*] that constitute our common mental and emotional life (inherited, of course, from former lives), so does śānta— the vāsanās here being those which focus on our striving for liberation. The point (again) is rather that śānta taps into the same deep strata of our being as do the other rasas.

¹⁹⁵ Presumably meaning that a "heroic" spectator will find little of interest here—and also, if he is heroic, he will not be easily frightened!

¹⁹⁶ *ayam* may refer to the preceding *bhayānaka*, or generally, to any hostile rasa, such as (in this context) śānta. It should be borne in mind that the protagonist of śānta rasa is nota *vīra* 'hero' in the technical sense: see n. 191, above.

¹⁹⁷ *puruṣārthopayogini*. The locative (if correct) probably "agrees" with *tatra*: there—in that work, which is helpful …'.

¹⁹⁸ How are Masson and Patwardhan able to take the *tat* of *tanmṣṭhas* as referring to śānta? Both grammar and sense require that it refer to the immediately preceding "erotic passion Ħ" The question is still: what does the *vīra* enjoy? I.e., (by extension) what would men of ordinary temperament find enjoyable in a *śāntapradhāna* drama?

¹⁹⁹ A view with which Abhinava does not necessarily disagree. It is seen as a further implication of what he definitely does accept, namely, that each rasa, and each primary character thereby implied, has its proper delight. The *hṛdayasaṁvāda* of spectator and character is based on this propriety.

²⁰⁰ This carefully argued conclusion has followed from a consideration of the rasa's *sthāyin*, its *vi-*, *anu-*, and *vyabhi-cāribhāvas*, and its audience—or "delight." The argument alone shows how important it is for Abhinava to establish śānta as a *rasa*!

²⁰¹ This line is found in the prose between *N.Ś.* 6.43/46— just before *śṛṅgāra* is taken up. Abhinava there explains it as: "ye sthāyino bhāvā … tān api nāma rasatvaṁ viśrāntyekāya-tanatvenopadeśadiśā neśyāmaḥ" '… we will lead these stable emotions to a condition of rasa by showing them as (built upon a) single foundation, "calm." (Here *viśrīnti* occurs in the context of *rasapratīti* as such—though it is not a synonym. See n. 180, above.)

²⁰² I do not understand the query put by Masson and Patwardhan to this line (*ŚAPA*, 138, note); Abhinava here defends textually those manuscripts that *do* include the *śāntaprakaraṇa* by remarking that they are ancient. How else would an Indian proceed?

²⁰³ See n. 201, supra.

²⁰⁴ The *iti* perhaps indicates that Abhinava's source text is again being quoted. *Tanmukhyatālābhaḥ* seems to point back to *sarvarasānām*—but it could, as Masson and Patwardhan take it, point to *śānta*(*prāyaḥ*). In the former case, the view here presented does not differ materially from Abhinava's usual view on the role of the *vāsanās*.

²⁰⁵ Again, Abhinava is probably referring to the text above cited—which appears to have placed śānta just after the line "we will lead …" (instead, as in our texts, *śṛṅgāra*).

²⁰⁶ This is indeed a puzzling statement, inasmuch as Abhinava has just cited his text as mentioning a *sthāyibhāva:śsama*. This perhaps refers (obliquely?) to the other candidate for *sthāyin*: the ātman as *tattvajñāna*. Or perhaps all it means is that the *sthāyin* is not mentioned repeatedly [*pṛthak pṛthak*], as being implied in all the other rasas. Visuvalingam adds: "The apparent inconsistency is due only to Abhinava's unwillingness to express himself explicitly in favor of one or the outer tradition."

²⁰⁷ *siddhāntaśāstreṣu*: or is this other example of Abhinava's use of the honorific plural?

²⁰⁸ Or, "… As the form of the god of gods, 'tranquillity'." See, on this verse, *ŚAPA*, 139, note.

²⁰⁹ Other traditions add these two to the list of rasas. The Bengali Vaiṣṇavas make *bhakti* the supreme rasa. See Ragha-van, *Number*, ch. 6. By *anyathaiva* Abhinava probably intends the difference in locus between these candidate rasas (the temple) and śānta per se (the theatre).

²¹⁰ A nearly identical verse occurs in the published text of the *śāntarasaprakaraṇa* (G.O.S. ed., p. 333). I take *mokśādhyātma* as a dvandva; Masson and Patwardhan (*ŚAPA*, 139) translate as if reading *adhyātmamokśa*.

²¹¹ *N.Ś.* (G.O.S. ed.), p. 335 (with important variations; the second pāda reads: *śāntād* bhāvaḥ *pravartate* 'the emotion (or, feeling] arises from tranquillity').

²¹² Abhinava's comment implies that he sees die verse as making a statement about *rasatva*, not about the emotional basis of rasa (see preceding note). The use of the term *prakṛti* here (as above) does suggest that Abhinava sees īānta on an evolutionary level prior to the other rasas. Of course, as

he has explained above, the other rasas can also be seen as the *prakgti* 'matter' of śānta! Perhaps then we should take the compound *rasāntaraprakṛti* as a bahuvrīhi: "having as its matter the other rasas."

213 *N.Ś.* 18.84d–85ab (G.O.S. ed., vol. 2, p. 443). The *ḍima* is one of the minor "ten genres" of drama. If Bharata's statement is taken literally, it would appear to exclude even the possibility of śānta rasa.

214 *N.Ś.* 18.85c.

215 *Mutatis mutandis*; or, the biter bit!

216 The point is either (as Masson and Patwardhan have it [*ŚAPA*, 141]) that, without the qualification *dīpta*, 'inflamed …,' any six of the seven remaining rasas could be used; or that, among the six remaining rasas, those forms have to be excluded that are not *dīpta*. I prefer the latter, because the former appears to repeat the terms of the first question.

217 *sāttvatyārabhativṛttisaṁpannaḥ: N.Ś.* 18.88b. The *vṛtti*s are styles of speech and gesture associated with different types of protagonist. Cf. Lévi, *Le Théâtre Indien*, 88.

218 Bharata derives four "subsidiary" rasas [*hāsya, karuṇa, adbhuta* and *bhayānaka*] from four "primary" [*śṛṅgāra, raudra, vīra* and *bībhatsa*]: *N.Ś.* 6.39. His meaning is not entirely clear. S. Visuvalingam's doctoral dissertation [unpubl.] treats extensively of these four interrelations.

219 Abhinava means that, since the other rasas figure as its *vyabhicāribhāvas*, all their deities may by extension be attributed to it.

220 E.g., the color, *svaccha* 'clarity'; the deity, Buddha, or the Jina (*Bhāratī* ad *N.Ś.* 6.42–46 [G.O.S. ed., pp. 298–99]).

221 I agree with the guess of Masson and Patwardhan (*ŚAPA*, 142, note) that *sattvabhāva* means *sāttvikabhāva*. See n. 89, above. The "origin" of the rasa (preceding line), then, would refer not only to die origin (*vibhāva, sthāyih*) but also to the various manifestants (*anubhāva*) and associated states (*vyabhicāribhāva*). Indeed, *sāttvika* is the only factor that has not heretofore been specified for śānta. It is quite elegant (note, ibid.) to presume "laughter" as the *involuntary* manifestant of śānta: Śiva laughs! The text, of course, may be corrupt; several emendations have been suggested (e.g., Visuvalingam's *tasyābhāso* for *sattvabhāva*)—but I have here, as elsewhere, followed Raghavan's edition, despite its faults.

222 Note the ca here. Other *vibhāvas* were specified previously. I agree with Masson and Patwardhan that the line should be understood in this way (*ŚAPA*, 142, note), but do not have their problem in accounting for the mention of *vira*— since *vira* is not (see above) the chief rasa of the *Nāgānanda*!

223 Three readings here have been defended; I follow Ragha-van's most recent suggestion (*Number* (2nd ed.], 116): *abhinayapayogitayā*. In the first edition (p. 10S), he prefers *anupayogitayā* (apparently misread as: *anupabhogitayā*, by Masson and Patwardhan [*ŚAPA*, 142, note—and so translated]). Finally, Kavi gives *anupabhogitayā* as his preferred emendation (G.O.S. ed., p. 340). I do not see the problem Masson and Patwardhan have with Raghavan's second guess: the text is after all a commentary on the *Nātya Śāstra*; and it is inconsequential (on the theological level) to propose that the *mahāphalā* of this awesome discipline is "eschewing enjoyment." Doubtless, Abhinava's point is that—as far as worldly "fruits" go—a fine performance is a fine thing! Compare Abhinava's

use of the term *mahāphala* in commenting on the *mahe-śvarasya dāsyam* of the first kārikā of the *Īśvarapratyabhijñā* (vol. 1, p. 29). The actor is also a "servant." Cf. also Abhinava's comment ad *N.Ś.* 6.33: "… ye tv atathābhūtās teṣāu pratyakṣocitatathāvidhacarvaṇālābhāya naṭādiprakriyā | svaga-takrodhaśokādisaṅkaṭahṛdayagranthibhañjanāya gītādiprakriyā ca muniriā viracitā" (vol. 1, p. 291).

224 Treated in *N.Ś.* ch. 19. See my analysis of the *Śākuntala* according to the Indian theory of plot construction, *JAOS* 99 (1979): 559–72, and 100 (1980): 267–82.

225 I think this question concerns *āsvāda* only: "even if all you (Abhinava) have said is the case, what sense does it make to claim to 'enjoy' the truth?" Knowing it is enough. I take *tattvāsvāda* as a tatpuruṣa, parallel to *tattvajñāna*. We might also read *tat tv āsvādah*—the force of the question would be even clearer.

226 *uparakta, uparāga*: "affection" comes close to capturing the *double entendre* of a "color" that is also "attractive."

227 Once recognized, it cannot be forgotten. The figure (itself beautiful) of the passions enhancing die beauty of the soul by "modulating" it—as die necklace gains in beauty by the multiplicity of its jewels—sums up Abhinava's view of the role of art in the cosmos—a very ambiguous figure that seems to attribute to art a cosmic function!

228 Perhaps "poetry" and "drama" (so Masson and Patwardhan, *ŚAPA*, 142). But *prayoga* is also used of "practical" worship, etc.

229 Appropriately, the *śāntaprakaraṇa* closes by reminding us of the major cosmic diesis of the Pratyabhijñā: the self-division of consciousness into outer and inner worlds, ever corresponding and ever finding delight in die correspondence. It is, it seems, in śānta that this delight is (from the inner side) met and recognized, but as the solemn phrases intimate, this inner delight is but a reflection of a cosmic delight informing all being. I do not think Masson and Patwardhan have grasped me full flavor of this passage.

230 The seventh chapter; the commentary is in large part lost.

231 Either *rati* is bi-sexual (!) or the "passion" it implies may be asexual! Normally, *rati* does not include "friendship." Visuvalingam adds: "This remark is not so surprising—Śakti (incarnated in the sexed couple)."

CATHARSIS IN THE LIGHT OF INDIAN AESTHETICS

(1) THE CONCEPT OF catharsis in Western aesthetics arose out of speculations on Aristotle's remark in his *Poetics* that in a tragedy there should be, among other things, "incidents arousing pity and fear; wherewith to accomplish its catharsis of such emotions" [1] The word "catharsis" was used in his times in a therapeutic sense of purgation and also in a religious one of purification, but it appears from the use Aristotle made of it, of course, metaphorically, in *Poetics* and else-where[2] that he meant by it purgation.[3] Tragedy, then, by rousing these emotions in the mind of the audience purges the latter of them. And since they were considered to be unwholesome either in themselves or because they tended to be present in excess (and all excess is bad), tragedy in purging them exercizes a kind of psycho-therapic action on the audience. This is the kind of inter-pretation of catharsis given by such eminent thinkers as Milton,[4] Butcher,[5] Bosanquet,[6] Gomperz,[7] L. Abercrombie[8] and F. L. Lucas.[9] Now Aristotle, if he means this sort of thing by catharsis, does not give us a convincing theory of the function of tragedy. For supposing we share his view regarding emotions of pity and fear that they, as our dispositions, should be kept to a minimum for health, we do not see how tragedy helps us in this direction. Tragedy, we feel, instead of reducing one's disposition to feel these emotions, augments it. In fact Plato charges the tragic poet for making men sentimental and, so, unmanly.[10] Then we see that men do not go to the theater with emotions pent-up in their hearts to get relieved of them, rather they are affected with emotions there. So that if tragedy cures them then it cures a disease which it itself causes. Now supposing that a person sometimes has an accumulation of pent-up emotions of pity and terror in his soul, we may grant that tragedy helps him to release his emotional burden and, so, affords him a pleasurable relief. But this is just a temporary relief and no permanent cure of his emotional disposition. Rather we see that actual situations in life, in rousing a certain emotion, usually weaken the disposition for it by their frequency; the mind becoming less sensitive to the emotion often undergone in life.

The opposite happens in the case of emotions enjoyed in tragedy. The theatergoer develops a taste for and sensitivity toward the emotions depicted on the stage. So that what may have started as just a useful means of relief from an emotional burden gathered up naturally in the mind, may end as a stimulant for the same thing, and, because of this virtue, a charming addiction. The theatergoer is thus caught in a vicious circle, like one given to drinking. Wine stimulates the body and mind but produces as an after-effect a depression which calls for wine again, and, so, one tends to increase the dosage. What starts as a slave ends as a master. Thus the weakness of the theory that tragedy is a curative of tragic emotions of pity and fear is manifest.

(2) It may be argued that the cure is effected in a different manner. It is not a homeopathic cure of pity and fear by their like, but an allopathic one, by opposites, and this is what Aristotle too must have meant, for this was the Hippocratic principle of cure followed in his time.[11] So that catharsis is effected in tragedy through a mutual mitigation of tragic emotions, pity and fear which are opposites. But we consider this view of catharsis to be neither acceptable nor what Aristotle may have meant. Though it may be in keeping with the medical theory of cure which he most probably held along with his contemporaries, it does not fit in with his view of tragic effect which is one of emotional exaltation rather than of quiescence. The "proper pleasure"[12] of tragedy arises out of a concentrated dose of the tragic emotions which, it seems, reinforce each other instead of cancelling. It is only a weak audience that wants some kind of mitigation of the emotional intensity proper to tragedy.[13] If pity and fear neutralized one another in tragedy like, say, laughter and sympathy, there would be bathos in place of pathos and at least Aristotle would not call it a tragedy. We know the sort of tragedies that Aristotle had before his mind while he wrote *Poetics*. Indian aestheticians forbid the colocation of such opposite emotions in a drama that cancel one another in effect.[14] But apart from this, there is the important point that pity and fear, which are for Aristotle the tragic emotions, are not so opposite as to cancel one another. Aristotle too does not consider them as opposites.[15] So that catharsis, considered after the analogy of allopathic cure, does not accord with other things Aristotle said about tragedy and, so, is not what he might have accepted. Nor does it accord with facts and so is unacceptable to us. One's dispositions for pity and fear may

be imagined to be somehow checked by one's experience of mutual cancellation of these passions, but tragedy cannot be said to afford this curative experience. Tragedy seeks to depict, instead of mutual cancellation of emotions of opposite qualities—which it avoids, mutual reinforcement of like or concordant emotions and resolution of unlike or discordant ones, both conditions leading to a heightening of emotional effect. Thus tragedy, instead of mitigating the emotions, piles one upon another to build up a rich and vigorous emotional mood that dominates the play and functions as its ultimate meaning. Something of this nature is described by Richards as the essence of tragic effect.[16]

Now one might argue that this aspect of tragedy can yield us a meaning of catharsis, again in a therapeutic sense, and so, possibly acceptable to Aristotle. Pity and fear do not cancel one another in tragedy but they fuse into a finer and richer emotion by the tragic intensity so that the audience learns to sublimate them in its nature. But this is not an adequate view though Aristotle might be pleased to hear of it. For tragedy, according to this view, can cure only pity and fear, but not emotionalism. Plato's charge against tragedy that it weakens the rational side of our nature by encouraging the sentimental one is not fully met by this theory. It may, however, be said in favor of this theory that the dominant emotional attitude struck up by tragedy has an aspect of balance and harmony which produces by virtue of its form a repose in the midst of tumult.[17] But stili this is not enough of an answer to the original charge. One can readily see that the diverse emotions depicted in a play combine only to heighten the total emotional effect, so the richer is the organizational or formal element involved in the combining process, the intenser will be the final effect. Emotional intensity will mount up, and the repose due to contemplation of the formal element cannot be a match for it.

(3) We conclude from above that any account of catharsis given on the line of allopathic principles of therapy fails short of its objective which is the cure of emotional disposition. The homeopathic account too, we saw, failed. The essential function of a tragedy is not a cure of emotion whether it be imagined to be effected by its like or unlike. It is not a cure in the ordinary sense in which one understands the term and we used it in the above discussion. For we found that tragedy offers us an emotional attitude of great intensity and richness. The dominant emotional note struck up by a

good tragic piece contains many auxiliary minor notes which combine to produce it; an emotion of high amplitude and quality. Examples of such dominant notes may be found in Greek tragedies where pity, fear and a sense of mysterious fatality fuse into one pervading emotion without name, or again in Shakespeare tragedies where, as A. C. Bradley points out, the predominant note is that of "sadness, mystery and waste" [18]

So catharsis cannot mean for us a cure of tragic emotions in the ordinary sense. It appears as if the therapeutic sense of the term has to be altogether sacrificed. Yet this would empty Aristotle's observation in *Poetics* about the function of tragedy of all meaning and, then, on our part too, we cannot see what sense and defense we can make of tragedy if it does not have any beneficial action on the audience. As to the first difficulty we can very well imagine that Aristotle used the medical term "catharsis," to specify the characteristic function of tragedy, in a metaphorical sense, investing it with a new meaning,[19] yet retaining some of the old meaning of the term as it is usual in such a case. The reaction of the tragedy on the mind must have appeared to Aristotle to be analogous to the cathartic effect of certain medicines on the body. The observation in *Politics*[20] that enthusiastic music soothes the mind of a person suffering from an excess of enthusiasm and works a kind of catharsis is also to the point. As to our difficulty of specifying the function of tragedy, apart from the speculation about what might have been Aristotle's solution of it, we can recognize the awkward situation that if we do not indicate any beneficial action of tragedy on the audience we virtually condemn it and all our fine analysis of this type of art is sheer waste of time and mental energy. And if we admit some beneficial action of tragedy how can we describe it but on the analogy of medicinal cure and toning?

So that the therapeutic significance of catharsis must be somehow retained. But how? It is here that the traditional Indian aesthetical theory of *rasa* can help us. This will help us to tide over both the difficulties mentioned above, namely, the historical one of settling what Aristotle might have meant by *catharsis*, and the philosophical one of finding for ourselves what human good tragedy can possibly effect. As to the first suggestion we can say, very generally, that the solution offered by classical Indian aestheticians would be acceptable to Aristotle. For the solution, as we shall presently see, rests on two points, one an intellectualistic attitude towards

emotions, seeking to purify them of the passivity and blindness attached to them as they affect us in life, another the principle of suggestion which is indicated as the secret of this kind of purification that emotions undergo in drama. And while Aristotle manifestly shared the particular view of emotions, he was not unaware of the cause of transformation in tragedy of raw emotions into something fine and serene. This we shall see at the end of the essay. With regard to the second task, mentioned above, of determining for ourselves the specific influence of tragedy on humanity, we may simply observe that we wholly subscribe to the answer given to the question by Indian aesthetics. We believe that the essential insight of the ancients holds good even today; the two thousand years of thought on the subject, especially that taken by the modern psychologists, have not disproved this essential insight but have only proved its worth. We will, however, not endeavor to demonstrate this here.

(4) Turning to the Indian speculation on the subject, then, the first thing that strikes us is the influence upon it of the traditional medicinal theory of Gharaka and Suśruta.[21] Bharata,[22] the father of Indian aesthetics, whose work *Nātjashāstra* (Dramaturgv) was taken as the only authoritative text on the subject by others, uses many key-terms to describe the characteristic tragic effects that are found in the works of these medical authorities. It is natural to suppose that Bharata, like Aristotle, used these terms metaphorically, and so, investing them with view meaning yet retained something of the old. Now the key-term used by Bharata, and following him all the rest of Indian aestheticians, to describe the character of tragic effect is *rasa* and this is originally a physiological term and figures in the medicinal literature (called *ājurveda*) of India. It means the physical quality of taste and also any one of these six tastes, *viz.*, sweet, acid, salt, bitter, astringent and insipid. These six kinds of tastes severally characterize the six bodily humors which are known by their tastes.[23] All this is found in Hippocrates also who enumerates those very six physical qualities of taste (Greek *reos*) as characterizing six bodily humors.[24] Bharata also follows this in his dramaturgy where he defines *rasa* by the quality of taste, as it is done in the medical literature of his time, using the same word used therein.[25] Bharata also says at first that there are six *rasas* or principal emotions in a drama, but later that there are eight.[26] Now when the medical ideas of his time influenced him so much, it is safe to surmise that the idea

of cure will color his view of the function of tragedy.[27] Then Bharata could not, and he did not, as many of his terms show, pass by the Yoga of Patanjali which was no less a cultural influence of the time than the medical science, and this taught men how to purify the mind of all disquietude and bring it back to its inherent state of freedom and bliss. As a result of these two influences upon him, one a science of cure of the body and another of the mind, we find in Bharata and, so, in Indian aesthetics in general which he fathered, the concept of tragic effect as a sort of cure and a tonic for the mind. The medical analogy plays a definite though subtle role in the theory of *rasa* or aesthetic delight first formulated by Bharata and developed by his followers, chiefly Abhinavagupta.[28]

(5) Bharata lays down the principle of generation of *rasa* or aesthetic delight in drama thus: *rasa* is nothing but the relish of a principal or elemental human emotion, like love, pity, fear, heroism and mystery, which forms the pervasive dominant note of a dramatic piece. This taste of the dominant emotion is made available by means of a number of minor and transitory emotions depicted in the piece by means of representations of characters, their physical manifestations of feelings and their surroundings or background.[29] Now as interpreted by Abhinavagupta,[30] *rasa* is at once an emotional exaltation and a state of serenity. For such an emotion resides in the mind of the audience as a powerful and permanent disposition and is brought out or manifested by the play in a peculiar manner. The emotion is stirred up by certain other emotions which serve as accessories to it and which, though less elemental or powerful in human nature than the latter and much less enduring in the play, support this principal emotion which dominates the atmosphere of the play as a steady and pervading atmosphere. Thus, for instance, the emotion of love that dominates the atmosphere of *Romeo and Juliet* does so through the auxiliary and transient emotions, like longing, rashness, anxiety, sadness, joy, self-pity, stupefaction and bewilderment, suggesting and sustaining the chief emotion.[31] Now the chief emotion, as thus awakened in the mind of the audience, has a different quality or flavor from that aroused in life. Here the emotion is brought out by suggestion and resides in an ideal plane as forms or essences of their specific contents or instances in actuality. The ordinary emotion (*bhāva*) is said to be transformed into an extraordinary mood (*rasa*) which is but aesthetic delight embodied *in* the particular emotion or,

viewed in a different manner, it is but the original emotion transfigured by aesthetic delight. The change that is brought about in the emotion, as it is ordinarily undergone in life, by dramatic presentation of it, is that the emotion is not felt as a personal psychical affectation but an inter-personal ideal object of contemplation.

We may understand this distinction made by Abhinavagupta and others between an emotion as an ordinary psychical content (*bhāva*) and as an extraordinary object of aesthetic contemplation (*rasa*) by the analogous distinction made in logic between an idea as a psychical content and as an ideal one. Idea as a psychical content or as it is actually represented by some image in the mind functions as a symbol meaning the idea or thought which has a logical being.[32] When we think of a chair we have an image of it which is derived from our previous perception of different chairs on different occasions, but this image is found charged with meaning. The image is particular, changing with time for a particular person and differing with different persons, but the thought of the chair is an identical reference beyond this subjective occurrence. The emotions actually suffered in life may be compared to images that sometimes float in the mind without meaning anything as it happens when we do not think but merely entertain images. We do not know then *what* we are imaging, but may later remember them and then interpret them as meaning such and such objects. But we did not mean anything then. Emotions suffered in actuality may also be compared to sensations without interpretations put upon them by thought which transforms them into percepts. In some absent-minded state of our mind we merely look at something without knowing what we are looking at, that is we look but do not see anything. We may later remember the sensations and *then* know what we were looking at. But, again, this knowledge is the result of an after-thought.

Emotions, then, as suffered in life, are like uninterpreted images and sensations, uninformed by thought. They are, therefore, blindly and passively undergone. But as enjoyed in drama they are contemplated upon and their meanings are revealed to the mind which, therefore, while experiencing them in a way, escapes them in a significant sense. The audience undergoes the emotions depicted on the stage *in a way*; they weep and laugh as they do in life, but these they feel not as real but symbolical, charged with meanings. This is the secret of aesthetic delight. The secret is

the intellectual operation involved in aesthetic experience where the emotions are evoked in the mind through suggestion.[33] The mind concerns itself with the intelligible essence or meaning of the emotion. For this is alone the object intended or meaning signified by drama where everything that figures,—the characters, their speeches, actions and other physical manifestations like smiles and tears, and their background—is representative and symbolical in nature, referring beyond them to some meaning which is necessarily some generic essence.

This aspect of the matter is significant and has been discussed in Indian aesthetics where it is called "the generalizing process" in artistic representation.[34] The representations in drama are all particulars in one sense yet general in another and more important sense. They are signs representing certain general objects. Thus a tree on the stage is just an image of a tree standing for any one of the class of trees. And so is a character, say a young lady sitting under the tree, and so are her tears. They are all essentially ideal and not real. They are merely particular and real for one who is not aware that what is going on before him is a play. A little child may have this view and we can also deliberately choose to adopt it for a while, However, we usually approach good drama with a proper contemplative mood. To help this and to check naturalistic tendencies, drama employs certain means, such as frequent orchestral music, particularly before the opening scene, gorgeous stage decorations and rich make-up and dress. These are aids to "psychical distancing" which is a necessary condition of artistic appreciation and joy and Indian aesthetics recognizes this fully.[35] So we see that the representations in drama stand for general meanings which are more or less identical for all. Now the emotions these generalized meanings will suggest, by virtue of their association with the latter in the mind,[36] are naturally generalized and ideal (as against particular and real) ones. So is the dominant emotion called up and sustained by them. The emotions evoked in a play are de-individuated, dislodged at once from the specific objects they characterize in reality (and by which they are aroused in life) and from the particular subjects who suffer them. They are apprehended in the aesthetic attitude in an impersonal manner as logical entities are done in the cognitive one, and the question of their abode and of their relation to the particular minds on the one hand and the objects on the other are for the metaphysician to tackle. We as

aestheticians may only note how feelings and emotions can be contemplated as generic essences and how, therefore, they can serve to delight and unify the audience that in enjoying them enjoys but its own spontaneity of consciousness and the essential sameness of the latter in all persons. drama thus liberates man from the passivity of blind feelings and also from his self-isolation and gives him a taste of his essential self that is active and lucid in knowledge and is social.

(6) An aspect of dramatic effect may now be brought out. As has been already alluded to before, there is an element of organization of the minor and transitory emotions that strike up one principal emotion, rich and intense, which dominates the drama. Richards seizes upon this aspect of the tragedy and accounts for tragic repose in terms of it.[37] We have to mark two kinds of combination of emotions in a play. One is the mutual reinforcement of like emotions, for instance, those of longing, anxiety, despair and lassitude combining to suggest separated love. Another is the resolution of two apparently unlike emotions in to one, for instance, of pity and terror as in a Greek tragedy, into a higher one for which we have no name. Again the resolution of infatuation and disgust or of tenderness and rage into some highly complex and intense kind of love may be cited. Certain devices are mentioned in Indian aesthetics for resolving two contrary emotions which otherwise produce bathos.[38] We know how effectively Shakespeare resolved tragic emotions with comic ones to produce an emotional quality of a higher order. The Grave-digger's scene in *Hamlet* or the Clown-scene in *Antony and Cleopatra* is not a mere comic relief; it heightens the tragic effect. Now we may note that besides these two kinds of combination operating in the sphere of emotions there are also combinations of incidents and characters all contributing directly or indirectly to the evocation of the chief emotion of the piece. There is thus a fine organization and also adjustment of means to ends which elements work upon the mind of the audience producing therein an amount of balance and repose.

(7) Now we may collect the threads of our discussion and hasten to our conclusion. Catharsis may have a very general and tenuous therapeutic sense in aesthetics meaning the balance and purification of the mind. We have found that the ruling idea of illness and cure current in the traditional Greek and Indian medicine as well as in Yoga may have some application in

understanding of the tragic effect in particular. We have just seen that drama may produce balance and harmony in one's mind by virtue of these qualities being present in it. But more important is the fact that a good drama, while evoking a certain emotion, elemental in human nature, through certain other less elemental ones that appear and disappear in quick succession in the drama to awaken and sustain the chief one, affords a lucid insight into the latter. There is a consequent serenity characteristic of contemplative enjoyment of an intelligible object. The generic essence of the emotion is realized while what is undergone functions as a symbol, at once actual and ideal, like a spoken word or an image that intends an object. This happens because the dramatic representations themselves have a dual nature, they are specific and actual yet representative of generic and ideal objects which they mean. The audience concentrates on these meanings, and, so, following the suggestions of the drama realizes the emotions in their generic intelligible aspect. This predominantly intellectual and impersonal attitude is helped by certain external factors of drama like music and decorations.

We may now add two points to bring out the full significance of the above findings. First, the contemplative attitude in art has a certain resemblance to the intellectual apprehension in science and philosophy. In both there is impersonality or freedom from involvement in the object contemplated and seized while the opposite quality characterizes a feeling and doing. Yet there is some difference between them. For while the object contemplated in art, some principal emotion in its generic form, is realized as a self-contained and self-subsistent one, and so, the mind rests on it; the object apprehended in purely theoretic disciplines is ever referring beyond itself to other objects to which it has to be related in thought in order to know it fully. The ratiocinative or discursive mind does not come to any rest anywhere, but is involved in an infinite regress. It is roving, so the characteristic serene delight afforded by artistic appreciation is not found in the theoretic activity. Moreover the disinterestedness of the scientist and the philosopher is not so complete or genuine as that of the artist or the beholder of art. For the former is said to know nature in order to use and master it, the theoretic activity being provisional and subservient to the practical one. The scientist knows nature to control her, while the philosopher knows in order to know and realize her highest good. But the artist has no such ulterior motive, he seeks to enjoy emotions depicted in art

for their own sakes. And this leads us to the *second* point. The contemplative enjoyment of an emotion gives one an insight into the generic form of the emotion and one's mind then sheds away, as we saw, its naturalistic attitude. That is, the mind in aesthetic experience escapes its everyday disposition to take a personal and practical interest in the world. And, now, following the Indian aestheticians, we may observe that the mind in this mood realizes its essential nature. "Rasa is realization of one's own consciousness as colored by emotions," says Bharata.[39] The self degenerates as man takes too much real interest in the world and gets involved in it. The mind then loses its native joy and freedom. The remedy is art where the mind is made self-aware and free from any objective necessity. The mind then gets a temporary relief from its tension and outward pressure. This experience is blissful and acts as a restorative for it which emerges out with an exalted serenity and self-knowledge. This is the cathartic action of drama and this accounts for the "proper pleasure" spoken of by Aristotle and the "extraordinary charm" by Abhinavagupta.[40]

Catharsis, then, consists essentially in bringing the mind of the audience back to its own inherent state of freedom and clarity from its blind involvement in the world. This is a purificatory action of art as the mind is purified of its egotistic-pragmatic attachment to the world. These impurities veil the mind from its essential nature which is contemplative, joyous and free. Besides this purificatory action catharsis also includes a minor element, namely, the feeling of balance and harmony that art produces in the mind by virtue of these qualities found in it in a marked degree.

(8) Now a few remarks as to the acceptability of such a view to Aristotle. So far as the element of balance and harmony in catharsis is concerned, Aristotle could have no objection to it, for he recognizes these factors as marks of health as well as of a good tragedy. Measure or proper proportion was a ruling idea in Greek medicine and so was it in Greek ethics and aesthetics. We remember Aristotle's principle of the golden mean which implies balance and proportion. With regard to aesthetics we know that for Aristotle "the chief forms of beauty are order and symmetry and definiteness" by which mathematics is particularly marked.[41] The beautiful is for him the "appropriate." [42] Considering the other and chief element in catharsis, the purification of the mind of its overmuch involvement in the world, we see that Aristotle also regarded emotions to be self-regarding in

life and poetry as purifying the egotistic elements in them, transforming them into something pure and tranquil.[44] Thus he might have accepted a kind of disinterested contemplation of emotions for their own sakes and a consequent freedom of the mind from its egotistic or practical impulses as characterizing poetry. That emotions in life cloud our judgment was a traditional notion in Greek philosophy and Aristotle shared it.[44] Reason is for him the essential part of the soul, the only part that does not die in it, and the emotions have to be judicially enjoyed and strictly kept under the control of reason. So, if pure intellectual attitude of the mind marks its most elevated and noble state, aesthetic activity that reveals the appropriate form or generic essence of emotion lifts the mind from the bondage and clouding effect of the emotions and brings it back to its health. As to the doubt whether Aristotle would accept the fact that tragedy reveals the forms of the emotions to the mind and, so, provides a lucid intellectual feast rather than a blind emotional one, this may be got round if we consider these points. *First*, he held that tragedy, being an art, aims at beauty which to him is the appropriate or the essential form of a thing, and since tragedy for him depicts the tragic emotions of pity and fear, it must, evoke them so as to reveal their essential forms or truths. *Secondly*, he regards tragedy to be an imitation like music, but then it is clear that, like the latter, it does not imitate anything but the forms of things, and so, if it imitates "an action" that is serious and complete in itself, [45] it only represents the essential idea or truth of human life in one of its aspects of doing and undergoing. Naturally this will involve imitation of pity and fear also in the same sense. *Thirdly*, he explains the peculiar delight we all have in imitation, in an intellectual manner, by saying that we love to learn something. Can this be not applicable to tragic delight in the sense that we love to learn about pity and fear in tragedy?[46]

Thus though Aristotle had no idea of this sort of psycho-therapic purification, and the word "catharsis" meant for him some sort of religious purification (besides medicinal purgation), yet we can see that he would have no objection to our view of the function of tragedy and to our meaning of that endlessly suggestive and ambiguous word he used to describe it.

In fact Aristotle might understand the Indian theory in his own words thus. The human reason apprehends the essence or forms of things which are potentially in it, and in this consists the proper function and delight of

man. The forms of the complex emotions like those of music[47] are not apparent to ordinary minds but a poet seizing them presents them through an artificial medium, and in this consists making (*poesis*) and imitation (*mimesis*). Tragedy imitates the appropriate idea of that aspect of life which is marked by pity and fear and represents it through plot, characters, and their thoughts and feelings. The representation is ideal as it is an imaginary whole, complete in itself with internal order; an autonomous world in itself. Thus it is that poetry is most philosophical[48] and its function is to reveal to man's reason the forms of emotions which color and mark different aspects of his life. And since reason is the noblest portion of man's soul and knowledge his highest good attended with the purest joy, tragedy that leads his mind to see into the forms of such important aspects of life as marked by pity and terror, is surely like a medicine to his soul. It clears the mind of its cloud of ignorance, error, and prejudice which are the results of the vegetative, sensitive, and the affective parts of his soul. It quickens the essential soul-life of the audience and brings it to its ideal state of being toward which its nature is to proceed, (as all things tend to realize their appropriate forms), and thus acting as a curative and a tonic. This is tragic catharsis.

We conclude this rather speculative venture in comparative aesthetics with this remark that the Indian theory of *rasa* as well as Aristotle's theory of catharsis, the latter as reconstructed here to resemble the former, are intellectualistic in one sense, yet not in another. For though they hold up before our eyes the elements of disinterested knowledge involved in the peculiar tragic delight and give in its terms an account of the function of drama somewhat analogous to that of a purificatory and tonic medicine, yet, as shown before, [49] they also stress the immediate taste of emotions. Dramatic experience on this traditional theory is as much a matter of emotional exaltation as of intellectual penetration into the emotions enjoyed. Another point to note is that this latter element does not involve any such abstractive and consecutive reasoning process, and any such (either remote or proximate) pragmatic interest, as characterize scientific knowledge, which is generally known as typically intellectual. The traditional philosophy we are dealing with had an intuitive theory of knowledge which fits well with the description of the aesthetic experience as a kind of knowledge. But, again, we must remember that this philosophy

described this experience also in terms of emotional exaltation. One feels an emotion intensely, yet one does it, not as in life, but only to be intensely aware of it. We must not stress one element at the cost of the other and thus lose the wisdom of the ancients.

[1] Bywater's translation of *Aristotle on the Art of Poetry* (1920), p. 35.

[2] *Politics*, 1342 a.

[3] This is also the view of Lascelles Abercrombie. See *The Principles of Literary Criticism* (1930), p. 107.

[4] See his preface to *Samson Agonistes* where he advised "to temper and reduce pity and fear to just measure." Similar passions "should be stirred up by reading or seeing those passions well imitated," for, he says, "in Physic things of melancholic hue and quality are used against melancholy, sour against sour, salt to remove salt humours."

[5] S. H. Butcher, *Aristotle's Theory of Poetry and Fine Arts* (1931), Ch. VI. He writes, "In each case, the method of cure is the same, an external agitation is employed to calm and counteract an internal."

[6] See his *History of Aesthetics* (1922), p. 65.

[7] See his *Greek Thinkers* (1901–5), Vol. 5, p. 406.

[8] *Loc. cit.*, "Aristotle regarded the function of Tragedy as something medical: the pity and fear of tragedy were the doses by which the tragic poet homeopathically purged his audience into emotional health."

[9] See his *Tragedy in Relation to Aristotle's Poetics* (1927), Ch. II.

[10] See *Republic*, Book X, 605–7.

[11] See Hippocrates, *Ancient Medicine* (Loeb's Classical Library), Chs. XIII and XVI. The physician is advised to cure hot by cold, cold by hot, moist by dry and dry by moist. Galen also continued the same principle of cure. See his *On the Natural Faculties* (Loeb's), II, 9, 127–28.

[12] Bywater, *op. cit.*, pp. 52, 79, 95.

[13] *Ibid.*, pp. 51–52. "It belongs rather to comedy, where the bitterest enemies in a piece walk off good friends at the end, with no slaying of any one by any one." The Greek tragedies Aristotle had in his mind and which he alludes to in his *Poetics* to illustrate his several points are all highly emotional, full of blood and tears.

[14] See, e.g., Mammata, *Kāvyaprakāṡa* (11th c. A.D.) VII, 63–65.

[15] See *Rhetoric* (1386 b) and (1383 a) where he says that the proper antithesis of pity is indignation while that of fear is boldness.

[16] I. A. Richards: *Principles of Literary Criticism* (1930), pp. 245–46. "What clearer instance of the balance or reconciliation of opposite and discordant qualities can be found than Tragedy. Pity, the impulse to approach, and Terror, the impulse to retreat, are brought in Tragedy to a reconciliation, …."

Their union in an ordered single response is the catharsis by which Tragedy is recognized, whether Aristotle meant anything of this kind or not." Richards says that art evokes emotional attitudes and its greatness is directly proportional to the number and extent of emotional attitudes and their internal organization. (*Loc. cit*).

[17] Richards also speaks of this repose produced by the balance and reconciliation of feelings. (*Loc. cit*.).

[18] *Shakespearean Tragedy* (1905), p. 23.

[19] As Gilbert Murray says in his preface to Bywater's translation of the *Poetics (op. cit*., p. 16).

[20] *Politics*, 1342 a.

[21] They are generally known to belong to the 1st century A.D. too. The science of medicine and surgery which they founded had its sources in much earlier works and cumulative experience of the people.

[22] Who most probably lived in the 1st century A.D.

[23] See, e.g., *Charaka-Sanghitā, Sutra-Sthanam* 26.12, and *Suśruta-Sanghitā, Sutra-Sthanam* 14.2. I am indebted to Mr. R. K. Sen's brochure, *A Comparative Study of Greek and Indian Poetics and Aesthetics* (Calcutta, 1954), for this and some other information about Greek and Indian medical theories. His thesis is that both Bharata and Aristotle meant by tragic function a simple allopathic cure of emotions by their opposites, e.g., pity and fear cancelling one another. This we have discussed and summarily rejected. Mr. Sen relies too much on the medical analogy and cares too little for the concrete aesthetic situation. We have here shown how the medical analogy works in a subtle and tenuous manner. There is some sort of mental cure and toning up effected by tragedy but the principle of cure, either homeopathic or allopathic, has little significance here. Perhaps the homeopathic principle applies a little in the case of balance and harmony produced on the mind by the similar qualities found in drama, but, as we have shown, this is not the essential curative effect of drama and it contributes but a small part to the tragic repose. But Prof. Sen does not refer to this element in dramatic effect.

[24] *Ancient Medicine*, Chs. XIV and XVIII.

[25] *Nātyashāstra* 6.31; *Charaka-Sanghitā*, S.S. (1.33); *Suśruta-Sanghitā*, S.S. (42.3).

[26] Bharata, *op. cit*., 6.31 and 6.38.

[27] However, like Aristotle, Bharata, too, does not seem to make any use in aesthetics of the specific theory of cure which ruled Indian medicine. This was the allopathic principle of opposites. See *Gharaka, op. cit*., S.S. 1.30–31.

[28] Who lived in the 10th century A.D. and wrote *Abhinavabhārati*, a commentary on Bharata's *Nātyashāstra*. His other work on aesthetics is a commentary on Ànandabardhan's *Dhanyāloka*, the latter (9th century A.D.) dealing with the theory of suggestion in poetry and drama. It is called *Dhanyālokalocana*. We shall refer to these works of Abhinavagupta by A.B. and D.L. respectively.

[29] Bharata, *op. cit*., 6.31–33. He mentions some eight dominant emotions corresponding to eight kinds of *rasa* they give rise to when they are tasted in drama.

[30] See A.B. (*op. cit.*) VI, 34, and D.L. (*op. cit.*) 1.4–5. Also see *Kāvyaprakāśa (op. cit.)* 4.28, where the view of Abhinavagupta on *rasa* is ably summarized.

[31] Bharata says that the dominant emotion is like a king while the minor ones are his attendants (N.S. 7.7) and he describes the kinds of representations appropriate for depicting love. Fear, indolence, cruelty, and disgust should *not* function as auxiliaries to love. That there should be only one principal emotional mood in a play and the rest should be subservient to it is important. See, e.g., D.L. 3.21.

[32] See, e.g., F. H. Bradley, *Principles of Logic* (1883), Ch. I. Bradley has not made any distinction between a sign and symbol here. We also have not made any.

[33] It is a serious fault to name an emotion in drama, that is to express it directly instead of suggesting. *Kāvyaprakāśa* VII, 60–62.

[34] See A.B. 6.34, 28. *Kāvyaprakāśa* IV, 28. It is called *Sādhāranikarana*.

[35] See, e.g., A.B. 6.34.

[36] This association is the result of experience where the particular instances of the general objects represented in the play are found to arouse particular emotions.

[37] Richards, *op. cit.*, pp. 245–6. See note 16 above.

[38] E.g., Mammata, *op. cit.*, VII, 63–65.

[39] Bharata, *op. cit.*, 6.35. Also Visvanāth says, "Rasa is identical with the taste of one's own blissful self." *Sāhityadarpana* (14th c. A.D.) 3.35. See also Abhinavagupta, D.L. 1.4. And since the Indian aestheticians held the disinterested self-consciousness to be of the nature of God (Brahmā), they said that *rasa* is an experience akin to that of God or ultimate reality. See D.L. 2.4.

[40] D.L.3.33.

[41] See *Metaphysics*, 1078a, 32ff.

[42] *Topics*, 102a, 6. Also "Beauty is a matter of size and order." (*Poetics*, Bywater, *op. cit.*, p. 40).

[43] See S. H. Butcher, *op. cit.*, pp. 254–268.

[44] See, e.g., *Rhetoric* (2.1), where he defines emotions like pity, fear, jealousy, etc., as what alter our judgment. The orator is advised to carry his point by appealing to the emotion of the judge and the jury.

[45] See Bywater, *op. cit.*, p. 35.

[46] See *Ibid.*, p. 29. Aristotle here gives two reasons of delight in imitation, one the pleasure that the mere translation of an object in another medium gives us, another the joy we take in learning something. His illustration of the latter kind of pleasure does not show that he *meant* such a view of the matter as we have suggested here. "The reason of the delight in seeing the picture is that one is at the same time learning—gathering the meaning of things, e.g., that the man there is so and so. (*Loc. cit.*). Yet we believe he would readily accept our view of the matter, that is, that tragedy gives us a knowledge of the emotions of pity and fear, and so, a peculiar pleasure associated with them which are themselves painful.

[47] *Politics* (1340a, 12ff.). Aristotle says that music is a typical imitative art. This shows that he believed art imitates intelligible forms of things and, so, is pre-eminently intellectual in nature. For what would music imitate in the sense of copying or mimicry?

[48] See Bywater, *op. cit.*, p. 43.

[49] See § 1, and note 13, for Aristotle's view. For the Indian view see §5. *Rasa* is said to be the *taste* of the principal emotion, and this taste or experience involves an undergoing in some manner as well as an intellectual apprehension of the emotion. As explained before (*loc. cit.*), the emotion as undergone functions as a sign or symbol of the generic essence of the emotion, the emotion in its latter and intelligible aspect is apprehended. It may be noted that this undergoing of emotions as a means to an apprehension of their generic essences and, so, this active and intelligent response to them instead of a passive and blind one, may occur even in one's life when one takes an aesthetic interest in it and so views oneself as an actor, the world being one's stage.

THE AESTHETICS OF INDIAN MUSIC*

A. A. Bake†

FOR ITS impact Indian music has to rely, firstly, on one single melodic line as—although it is based on the same principles as the music of the West and consequently could potentially have developed a kindred kind of harmony —it has not in fact moved in that direction but has concentrated on an ever greater refinement of one line of melody. Secondly, it uses rhythm as crystallized in the many and varied musical times.

Although the main attention with regard to aesthetics is focused on melody, the importance of musical time in this respect has also been clearly defined. Dāmodara, a seventeenth-century author, quotes Katyānana, a much older, but unfortunately undatable author, as saying: (SD VI 4)

> tauryatrikam sumattebhas
> tālam tasyāṅkuśam viduḥ
> nyūnādhikapramāṇam tu
> pramāṇam krīyate yataḥ

which means: 'They know that the triad of music (*viz*., vocal music, instrumental music and dance) is hke a thoroughly mad elephant whose restraining hook is Tāla. Tāla creates the right order where there is either too much or too little of it.' The phenomenon of musical time as a whole is designated by the word tāla with a widening of its original meaning of 'palm of the hand' and, musically, 'stressed time-unit' or 'strong beat'. This semantic development in itself indicates a noteworthy historical change of approach to music, which I shall have to refer to briefly a little later on.

In the same way as tāla designates the rhythmical structure as a whole, the melodic concept of Indian music is embodied in the word rāga, This, for all its exclusively Indian characteristics, is in essence a relative of our 'mode'. A piece in a certain rāga, however great the differences, can be compared to a composition in one of the Greek or medieval modes. It is helpful to keep the fact in mind that there is no basic difference, either in

scale or in general construction, between a modern Indian rāga and a European mode. In it we meet a relative, even if seemingly far removed.

Since we are going to deal especially with rāga, it is best to mention at least the characteristics of one specimen to give the basis of the aesthetic speculations under review.

Imagine a basic scale, pentatonic by omission of the second and the fifth degrees. (The names of the seven notes of the octave in the Indian system of music are sa, ri, ga, ma, pa, dha, and ni.) In this case, consequently, ri and pa are missing. In addition, ni is weak and ma is sharp so that the basic scale prominently displays the interval of the augmented fourth. Each rāga has its own individual way of approaching and stressing special notes and intervals of its basic scale. This structural picture varies, of course, from rāga to rāga, sometimes very considerably sometimes only in detail, but still significantly enough to justify the second structure being considered as a rāga by itself.

So far for the musical substratum of the rāga, but what about its aesthetic appreciation? The aesthetic picture evoked by this melodic pattern usually presents the same scene, *viz.*, one male character and some ladies enjoying life on a swing, and they, all three of them, represent this rāga, the Rāga Hindola (modern Hindol), Hindola meaning swing.

How is it possible that music gives rise to so well defined a picture? One of the modern explanations is that this picture is meant for meditation. The artist should contemplate it and meditate on it and then start playing, expressing its essence. Possibly that sometimes is really done, but it certainly explains nothing.

Is it possible at all to trace at least an outline of how this came about? The concept of rāga is so inextricably interwoven with the whole system of Indian music as we know it that it seems unthinkable that it should not have been there from the very beginning. It is India's unique way of approach to music from the technical and at the same time from the emotional side. Even though in different schools and in different areas the same rāga name often designates different tonal structures (the Hindol I have just mentioned was in a North Indian tradition) and may designate different emotional overtones and so give rise to different pictures, the two aspects can never be

separated and few people would doubt the essential musical nature of this phenomenon as a whole.

As we know it now it belongs to music as an independent art. Especially where—in as many parts of North India—the character and shape of each rāga require to be established anew by the artist at each performance by means of an ālāpa (musical exposition) which may last for an hour or more, it is difficult to think of rāga as belonging to music as a mere auxiliary art. There is no possible doubt that for several hundred years and quite possibly much longer than that India has indeed regarded music as an art in its own right, but the fact remains that our earliest data on the structure and character of Indian music amount to a description not of an independent art but of a hand-maiden to dramatic art (leaving aside liturgical music, which in any case never could have an independent existence). In the *Bharatanāṭyaśāstra*, the treatise which contains the oldest theoretical and practical musical data extant, music is mentioned only in so far as it fits into the framework of theatrical performances. There undoubtedly was music outside the theatre but we have no means to know what it sounded like. As Bharata describes it, it is primarily vocal and in that respect is like the music of the Vedic liturgy. Instrumental music is put very definitely in the second place as an accessory to the voice. Even the rhythmical aspect is connected with the laws of prosody. Although the term tāla is used, the rhythmical system as described is not governed by strong beats marking the beginning of the different periods—as in modern times— but by the quantity of the component parts, in very close parallel to and modelled on the laws of prosody. With the conservatism characteristic of all Indian theoretical treatises, later texts are markedly reluctant to relinquish the ancient terminology and we find many current technical terms dating from those initial stages but the modern connotation is often very different from the original meaning. As the scope of music gradually widened, however, the old set of technical terms proved insufficient and new terms were coined. Rāga was one of them, as far as we can see. Still even rāga, now paramount in music as an independent art, betrays its original connection with the theatre and its aesthetic conventions.

It is to some extent possible to follow the structural metamorphoses of a number of current rāgas through several centuries of musical tradition, but not without going into lengthy musicological explanations which would be

out of place here. Equally interesting, however, is the growth of emotional and aesthetic concepts, gradually leading to the modern, or at least late-medieval, elaboration in which the original rāga as a single concept is split into masculine rāgas and feminine rāgiṇīs, belonging to certain periods of the day or the night, or to a special season of the year, and suggesting very definite scenes of joy, love, sorrow, loneliness or even separation.

The emotional effect of music has been recognized and analysed as far back as we can go in Indian musical history, *viz*., in the *Bharatanāṭyaśāstra*. As I briefly mentioned a few moments ago, we also find the earliest practical indications as to the size of intervals, scale construction and so on in that same remarkable book. Not surprisingly, considering the character of the book as a whole, the definition of the different emotions connected with the various notes of the standard scale is given in terms of the theatrical (or rhetorical) rasa-bhāva theory which was used to define the emotional contents of the play (or poem) as a whole.

A remarkable feature of the Indian aesthetic theory, whether connected with the theatre or with poetry, is the basic importance attached to the analysis of the interaction of performer and audience. It is realized that, whatever the beauty of poem or play, this goes for nothing unless there is an audience which can grasp its beauty. The listener should be 'sahṛdaya'—of the same heart—in the first place. Secondly, he should be 'rasika', that is to say able to enjoy or feel 'rasa', the first component of the just-mentioned compound 'rasa-bhāva'.

'Rasa' is a difficult word with innumerable shades of meaning, all of them in closer or wider relation to the basic meaning of the word, juice or essence. It is the essence as well as the experience of joy or satisfaction when one is tasting or realizing something that is tasted or conveyed, and in the last instance it can stand for the heavenly bliss which pervades the soul when experiencing unity with God. Rāslīla is the dance the shepherdesses perform round Krishna, a dance born from the rasa of the realization of His nearness to them. It stands to reason that this experience of rasa does not follow the impact of a natural phenomenon, nor is its physical effect comparable to what is engendered by witnessing a stirring or shocking real event. Thus it is possible to distil rasa from a sad happening on the stage or described in a good poem.

As far as the stage is concerned this rasa-creating something is conveyed by the actor by means of his 'abhinaya'. This may be his words, in which case it is called 'vācikābhinaya'; his movement, when it is 'āngikābhinaya'; or his apparel, when it falls under the heading 'āhāryābhinaya'. There is a fourth, more elusive, category called 'svabhāvikābhinaya' which is sometimes taken to refer to what he conveys by means of his own personality. What he conveys rests on the bhāva of his text, a word which in a general sense may be rendered by 'mood'. Bhāva is thus inherent to whatever he is conveying. Each bhāva is transmuted by the art of the actor into something which may awaken the corresponding rasa in the mind and heart of the listener, provided he is 'sahṛdaya'. It is realized that the love depicted on the stage is not the physical phenomenon love, nor is the enjoyment of the rasika the physical satisfaction of a real act of love.

Bharata puts it very strongly: na bhāvahīno rasaḥ, there is no rasa without bhāva, and—stressing the reverse relationship—he adds, na bhāvo rasavarjitaḥ, no bhāva is devoid of rasa.

As usual there is a proliferation of subdivisions both of rasa and of bhāva, but especially of the latter. The prevailing mood of a given piece can be permanent or it may be transient, contributory, or what have you, all these aspects interacting on one another and so modifying the nature of the resultant rasa. That, however, need not detain us here. In connection with the dependence of music on the different rasas and bhāvas we have only to take notice of the main categories which, in Bharata's treatise, are eight in number. As we shall see presently, a ninth rasa was added at a later stage.

These eight are distributed among the seven notes of the octave, one or more related rasas being attached to each note, some of them sharing the same rasas. As you remember, the sequence started from sa: sa, ri, ga, ma, pa, dha, ni. Their rasas are as follows:[1] ma and pa, that is to say the fourth and the fifth of the tonal sequence, belong to the rasa of love (śṛṅ;gāra) and the rasa of laughter (hāsya). These rasas often form a compound —'hāsyaśṛṅgāran'. Next follow the sa and the ri, both connected with the same triad of rasas, vīra (heroism), raudra (fierceness) and adbhuta (wonder or stupefaction). The third and the seventh of the note-sequence, ga and ni (as you see, a fifth apart and, incidentally, forming minor intervals against the sa, *viz.* a minor third and a minor seventh) are linked with the sentiment of karuṇa (pity). Remains the dha, the sixth of the sequence, which is linked

with another, frequently linked pair of rasas, bībhatsa and bhayānaka (disgust and fear).

Incidentally this indication of the rasas as attached to single notes is given to instrumentalists as an answer to a request to the author from a body of wise men, to explain the rasas with regard to the notes played on instruments, and consequently it concerns separate notes which was all the instrumentalist[2] accompanying the vocal line was concerned with, in order to avoid playing the wrong note and so disturb the prevailing atmosphere of the song. One finds exactly the same instruction in the lines immediately preceding the ones I have just quoted, taken from the 29th chapter of the Nātyaśāstra, the second of the six devoted to music. In those preceding verses Bharata speaks of singers, not of instrumentalists, the singers being of course the more important category in this context.

One must be clear in one's mind that these notes, sa, ri, ga, and so on, were not connected with a fixed pitch like our c, d, e, and so on. Each singer could choose his sa at a pitch which suited him. Consequently the indication that ga should be connected with the sentiment of pity had no meaning at all until one knew which of the notes heard was the sa. Ga exists only in relation to sa. Only by knowing the sa could one recognize the ga in its melodic (and thus emotional) context. The instrumentalist would have tuned his instrument to the singer's sa in any case, and consequently would need no further indication to be kept on the right track. In essence the principle that notes are identifiable only in melodic elaboration is the same as the modal principle in the West. One accepts one basic scale with a fixed succession of tones and semitones (as for instance our major scale) and this scale can be started at any pitch. Side by side with this one tonal sequence one has, however, a number of others (as, for instance, our minor scale) with a different arrangement of tones and semitones which also remains unaltered at whatever pitch one chooses to start. This concept is easily grasped if one considers each of the notes of the original sequence in turn as the initial one of a new tone-row with an existence in its own right.

It stands to reason that from a basic scale with seven notes one can derive six other scales and that is exactly what we find in India and in the West: the seven primary 'jātis' of the Bharatanātyaśāstra and the Greek and subsequent Gregorian modes. From these seven primary jātis the Nātyaśāstra fashions eleven more by combination and permutation. This is

possible because a jāti is more than a succession of neutral notes at certain given intervals. The different degrees of the series are invested with a varying amount of importance (the 4th and the 5th being singled out from the beginning as being prominent), but several other rules are laid down as well. In order to transform a bare scale into a jāti no less than ten different characteristics will have to be fixed. In the first place, of course, one has to know the important notes and foremost among them is the aṃśa, the melodic centre.

The singer has to know his jāti and Bharata says:[3] 'The note which is strong, the note in fact which is the resting place of the jāti—in the rasa connected with that note the melody should be sung by the performers.' The way in which such a prominent note was to be made conscious to the listener in performance probably did not differ in essentials from what is practised today. The usual definition of aṃśa as 'the note which occurs often in performance' is of course the obvious one, but there is no reason to suppose that the many subtle ways which Indian music now knows to bring out the prominence of certain notes in pure melody were late discoveries in the art of singing. The singer's task was to present the jāti in its proper emotional context and for that reason the knowledge of the aṃśa was essential for him. Hence the mention of the rasa of the aṃśa for the benefit of the singer and that of the bare notes for the instrumentalists.

Now a difficulty arises because most of the jātis can have more than one aṃśa and consequently can be the vehicle of more than one rasa. This is, however, an entirely natural musical phenomenon, as by stressing a different degree in one single series of notes one can completely change the atmosphere it creates.

Naturally we find that in the Nāṭyaśāstra the eighteen (7 plus 11) available jātis give rise to as many melodic rasa-schemes as there are aṃśas; Bharata mentions sixty-three of them. There are a few jātis which have only one aṃśa, and consequently represent one single rasa, but on the other hand we find one, called ṣaḍjamadhyā, in which all the notes can be treated as aṃśa and can consequently be connected with all the rasas.[4]

In spite of the rich stock of rhetorical terminology from which music was free to borrow, here was a phenomenon, and one of increasing importance as music developed, which obviously could not be covered by any of the

terms in that field. It was related to rasa, but both wider and more restricted in its application. Even Bharata was already looking for a term for it. Describing the phenomenon of aṃśa he says:[5] 'that in which *rāga* (the charm) resides and from which it emanates'. Here we find the word rāga used for that elusive quality which enables a composition to convey a certain mood by stressing a particular note in a particular way. A little before this passage where the use of accidentals is discussed Bharata uses the same kind of expression, saying that the temporarily introduced sharps 'guide the rāga of the jāti.'[6] It is consequently quite clear that there was need for a special term to denote this elusive power of notes to express certain feelings and generate a certain mood in the mind of executants and listeners alike: Rāga, etymologically connected with colour and emotion (the root rañj meaning to colour or to affect with emotion), was an apt choice.

It was to take some centuries, however, before this word became a definite technical term of music. If we can believe the author's own words, it was Mataṅga who first initiated that tradition. In his *Bṛhaddeśī* he follows the exposition of the jātis, in close accordance with Bharata's rules, with a chapter on the characteristics of rāga. This is introduced in the time honoured manner by a request put in the mouth of some sages interrogating the author: 'You must tell what is meant by the word rāga, what its characteristics are and likewise what its development is.' Mataṅga said: 'The shape of the system of rāgas which has not been mentioned by Bharata and his successors, we shall now elucidate in all its particulars in theory and practice.'[7] It is quite clear that rāga in its technical sense must combine a reference to some kind of arrangement of musical sounds as well as emotional qualities. It was Mataṅga's task to explain that in words. For that purpose he has recourse to the word 'dhvani', which makes it likely that he lived in a period when Ānandavardhana's 'dhvani'-theory had gained fairly general currency, that is to say after the ninth century. The double nature of the phenomenon of rāga is expressed in the following words in the next verse:[8] 'That something in sound which is affected with feeling by some special arrangement of notes, or by a different "dhvani", is rāga by general consent of the wise.' For the special arrangement of notes Mataṅga uses the word 'svaravarṇa'. Etymologically varṇa means colour and, in conjunction with alaṃkāra (ornament), is regularly used in poetics. The two terms have

been taken over by writers on music. 'Alaṁkāra' is obvious, of course; we too speak of ornaments in music. 'Varṇas' in their musical sense refer to special note-sequences. When notes remain more or less on the same level it is called 'sthāyivarṇa', when ascending or descending 'ārohi' and 'avarohivarṇa' respectively, and a mixture of the three preceding ones is called 'sañcārivarṇa'.

So we see that the first characteristic Mataṅga gives in his definition of rāga is purely musical; the second, the appearance of a different 'dhvani', refers to the producing of a different emotional effect, even if the actual notes of the scale have remained the same. This in fact is the very phenomenon Bharata refers to when he mentions the change of rasa with the change of aṁśa in one and the same jāti.

Musically speaking dhvani refers to very much the same phenomenon as the rhetorical variety, *viz*. the elusive emotional effect of a well-constructed composition with all its appropriate varṇas and alaṁkāras but, in the case of music, also with the appropriate musical time. Mataṅga clearly derives his use of 'dhvani' from poetics, where it means the impact beyond the thing directly expressed. It is a sort of echo or resonance, as can be clearly understood says Prof. Renou (*The dhvani in Indian Poetics*, Adyar Library Bulletin, vol. XVIII, 1–2, May 1954) from the often quoted etymology 'that by which real meaning (of verse or poem) resounds—"dhvanyate". The dhvani in poetics is an element which is susceptible of being suggested (vyañjya) and which, at least in ligher poetry, prevails over the element expressed (vācya). "Prevails": that is to say "is more striking". Here again appears the idea of the verb dhvanyate, the thing by which a (secret) meaning "resounds". People endowed with intuition (pratibhā) are able to grasp that meaning. The participation of the listener (or reader) seems as necessary here as it is relevant in the case of rasa.' So far Prof. Renou.

You see how very relevant this term is for what Mataṅga considers the essential emotional characteristic of 'rāga'.

Mataṅga seems to accept dhvani as a single phenomenon, and does not introduce classifications and variations. It stands to reason, however, that in the succession of treatises on poetics this concept did not escape the usual process of classification, division and subdivision. You may guess the

virulence of that disease by the fact that one author by the name of Mammaṭa enumerates 10,404 varieties of dhvani.

Up to this point in his treatise Mataṅga has not as yet given any explicit indication of the connection of his newly evolved rāga-system with the theatre, but in his description of the individual rāgas which follows it becomes quite clear that they are thought of most frequently in relation to certain episodes on the stage. Generally speaking his terminology is identical with that used by Bharata and the emotions involved are strictly classed under the headings of the accepted rasas which, however, at that time included the śāntarasa, the sentiment of peace, not in evidence in Bharata's system. For example, Mataṅga's 'boṭṭarāga' should be connected with the sentiment of peace. All the rāgas are clearly indicated as having sprung from one or the other (or several) of Bharata's jātis with an aṃśa relevant to its special rasa.

The connection with definite episodes in dramatic performances also explains the author's insistence on the proper musical time on a par with the melodic injunctions, as the wrong kind of rhythmic pulse would automatically destroy the desired atmosphere on the stage. To take one example. His rāga bhinnaṣaḍja, which has dha as its aṃśa, appropriately belongs to the repellent and frightful rasas (bībhatsa and bhayānaka). Its place during the performance is, again appropriately, during scenes connected with the same rasas, *e*.*g*. when the hero enters hunting.[9] This rāga has not survived to our days, but we can unhesitatingly accept these rules. Sometimes, however, we are faced with surprising statements and one is inclined to suspect that even in Mataṅga's days this connection of the aṃśa with very special rasas had not much real life in it any more. It was probably adhered to by Mataṅga and others because it was found in the Nāṭyaśātra. Let us look at a rāga with which we are still familiar in classical music, Hindola which I mentioned at the beginning of this talk. Mataṅga states that it is to be performed during scenes of enjoyment of love—very much in accordance with the modern connotation—but still it is supposed to express the rasas connected with the heroic series (heroism, fierceness and wonder). This certainly is stated merely in order to conform to the accepted connotation of its aṃśa which is given as sa.

There is, as yet, no sign at all of personification, but it is quite understandable how in the course of some centuries and under the influence

of the custom of depicting scenes figuring leading male and female characters (the nāyaka-nāyikā—hero and heroine—tradition) one should begin to find that pictures representing episodes invariably connected with certain rāgas on the stage eventually came to be regarded as representing the mood of that episode and, by inference, even the rāga itself. In that way a hero hunting could very well have depicted the rāga bhinnaṣaḍja, and the name 'hindola' in its connection with the enjoyment of love—especially with regard to Rādha-Krishna—might very well have resulted in a picture of love sporting on a swing as the image of that rāga.

How do we account, however, for the enormous number of rāga pictures not readily connected with the stage? Here, I think, I may safely recall the 10,404 varieties of dhvani enumerated by Mammaṭa, a proliferation entirely unconnected with any practical application of the dhvani principle in real life. Having created a really worthwhile concept, it then becomes necessary to spin this out into its finest possible ramifications. When Mataṅga lived the great tradition of dramatic art was coming to a close, but music had many centuries of independent development before it. In the field of aesthetics, the old rāga names were kept in use even when transferred to fresh tonal sequences, innumerable new ones were created in imitation of the old theatrical ones, and of course they had to have their own elaborate and detailed emotional connotations as well, if possible in even greater detail so that the picture might lack no feature that could possibly be attached to the original rasa concept.

Musically rāga developed and expanded away from this tendency and the purely musical aspect gradually became totally divorced from the graceful ladies and conquering heroes belonging to the phantom world of a long since dead classical theatre. The only real link was the beautiful names they continued to bear and the sentimental attachment to the treasured miniatures which professed to embody the rāga in question: a new and independent art hidden under the cloak of ancient conventions. Its main purpose is still the appeal to the emotions of a sahṛdaya audience, but the emotions have long since outgrown the old stage conventions which are the basis of the charming but limited miniature scenes in verse or painting.

REFERENCES

1 *Nāṭyaśāstra* Kashi ed., xxix, 17, 18:

hāsyaśṛngārayoḥ kāryau	svarau madhyamapañcamau
ṣaḍjarṣabhau ca kartavyau	vīraraudrādbhutesv atha
gāndhāraśca niṣādaśca	kartavyau karuṇe rase
dhaivataśca prayoktavya	bībhatse sabhayānake

2 *Ibid*., xxix, 16:

vādyaprayogavihitān	svarāṃścaiva nibodhata

3 *Ibid*., xxix, 12:

yo yadā balavān yasrnin	svaro jātisamāśrayaḥ (as in the Kavyamāla edition)
tatprayukte rase gānam	kāryam geye prayoktṛbhiḥ

4 *Ibid*., xxix, 11:

ekaiva ṣaḍjamadhyā jñeyā	sarvasvarāsaṃśrayā jātiṣ
tasyā hyaṣmśāḥ sarve svarāḥ	vihitā prayogavidhau

5 *Ibid*., xxviii, 70:

yasmin vasati rāgas tu	yasmāccaiva pravartate

6 *Ibid*., xxviii, 65:

jātirāgam … nayante

7 *Bṛhaddeśī* (Anantaśāyana Series 94), 278–279:

kim ucyate rāgaśabdena	kim vā rāgasya lakṣaṇam
vyutpattilakṣaṇam tasya	yathāvad vaktum arhasi
mataṅga uvāca	
rāgamārgasya yad rūpam	yan noktam bharatādibhiḥ
nirūpyate tad asmābhir	lakṣyalakṣaṇasaṃyutam

8   *Ibid*., 280:

svaravarṇaviśeṣeṇa   dhvanibhedena vā punaḥ
rajyate yena yaḥ kaścit   sa rāgaḥ saṃmataḥ satām

9   *Ibid*., Prose after śl. 324:

bhinnaṣaḍjah ṣaḍjagrāmasaṃbandhaḥ ṣaḍjodīcyavatījāter jātatvāt; dhaivato graho 'ṃśaśca; madhyamo nyāsaḥ; ṛṣabhapañcamahīna auḍuvitaḥ; niṣādagāndhārau kākalyantarau; … mṛgayāyām pravṛtasya nāyakasya praveṣādikāsu asya viniyogaḥ; bībhatsabhayānakau rasau; — dakṣiṇe kalā vṛtau kalā citre kalā; svarapadagīte caccatpuṭāditālaḥ.

THE BRITISH SOCIETY OF AESTHETICS— ANNUAL MEETING

THE Annual Meeting was held on 2nd October with the President in the Chair. Resignations were accepted from E. F. Carritt on grounds of age and from Professor Stuart Hampshire, who has gone to the U.S.A. Professor Ruth Saw was appointed Vice-President and Professor Richard Wollheim and Mr. F. P. Chambers to the Executive Committee. The remaining officers and Committee were reappointed.

The Financial statement and the Report of the Executive Committee for 1962–3 were accepted.

A motion by Mr. A. Whittick, seconded by Miss P. M. Scotte, was carried: that the Executive Committee should consider expanding the objects of the Society by taking express powers to make representations to public or private institutions where aesthetic matters were not being given appropriate consideration.

<div align="right">R.M.</div>

* Lecture delivered to The British Society of Aesthetics, February 6th, 1963. (Ed.)

† The Society regrets the tragic death of Dr. Bake.

METAPHORS OF INDIAN ART

KAPILA VATSYAYAN

The Members of the Asiatic Society, Dr. Sardesai, Mrs. Vimal Shah, specially Dr. and Mrs. Banerjee, Fellows, Honorary Fellows of the Asiatic Society and many beloved friends, young and old who have come here this afternoon. I am honoured, overwhelmed, and embarrassed beyond measure. I would specially like to thank Dr. and Mrs. Banerjee for their generosity in instituting the Nabadurga Banerjee Memorial Lecture.*

As I unveiled the statue of that great scholar Mahamahopadhyaya P. V. Kane and as I have walked many years in the corridors of this institution and sat at desks, perusing manuscripts and books, I have been filled with a sense of inadequacy as I am undeserving. I have always felt that both the building and the scholarship that it represents of those great savants who began to unearth, rediscover, re-interpret this vast cultural heritage with all its complexities, are the great human monuments of scholarship, be it Mahamahopadhyaya P. V. Kane or that other great monument, the editor of the Dharmaśāstrakośa Mahamahopadhyaya Laxman Shastri Joshi who was hete when we were made honorary fellows. For this and for much else Maharashtra is fertile *bhūmi*. It represents a distinctive rigour which results from discipline, concentration and a structured mind. For example, Mahamahopadhyaya P. V. Kane brings to his scholarship, whether he is looking at the *Sāhityadarpana* or writing on the Sanskrit poetics or writing on *Uttararāmacaritra* the incision of a lawyer. Often that incisiveness has all the arguments that could possibly be put forth in arguing a case from a certain fixed position with intention and purpose. He employs one discipline to examine a more fundamental area than resolving mundane matters of everyday life. This was a generation which combined disciplines and which investigated diverse fields both horizontally, and vertically. Alas this generation is becoming rarer and rarer. We have many specialists of particular aspects, but few who can identify the over-arching universal principles.

I make these remarks before I present my lecture, because what I have to present before you, is, at one level, from a different perspective and yet the questions I ask are the same fundamental questions regarding the tradition. In short, how does one look at a tradition, a tradition which has so far been looked at by adopting yardsticks, paradigms of investigation which have largely been internalised by the Indian himself through borrowed eyes and borrowed arguments. This borrowing and derivativeness is evident in many disciplines in India. This is as true in the discipline of the social sciences as it is in the disciplines of Indian art history. There is no doubt that India has always borrowed, it has assimilated and it has always been open. However, there is a problem at the critical evaluative level because the moment we begin to have either derived models or borrowed eyes we also begin to have a sensibility which begins to look at phenomena differently. These are not uncomplimentary remarks on the history of what we considered to be either Indian art in the singular or Indian arts in the particular. Theories of art have been discussed from the point of view of chronology or history of Indian art, setting them up in linear framework of progressive development or decline. The questions asked are what happened when and who did what? The models adopted have been either those of nineteenth century models of arrow time, evolution or the modern paradigms of analysis, Max Weber or application of Levi Strauss' structuralism. Today I will not mention them. My endeavour has been not to investigate or dissect particular art forms in historical time and in a linear progressive order. Instead it is an attempt to go under the surface to explore the underlying unity behind all this very complex multiplicity and plurality in time and space, at the level of theory and practice. Is there an integral vision which radiates through multiplicity? Is there a network and a web-like structure of fundamental principles which holds the parts together? Naturally we are reminded of the *Ṛgveda* and the adage *Ekam satya bahudhā vadanti*, the one truth and expressed in many ways. How is this reflected in the field of creativity? We ask the more pointed question, is there a one consciousness or a collective consciousness which looks at the entire macrocosm as a single unified field?

Without elaborating further, we know that the universe is a macrocosm in which man is but an infinitesimally micro-small being, one amongst all sentient beings. The globe or our earth itself is one small speck in a much larger cosmic universe comprising many galaxies and systems. The solar system is only one amongst these several systems we learn of in astronomy

and on which there is much meaningful debate in astrophysics. The question to be asked is whether the microcosm (Man) is aware of the macrocosm? Does the culture, its traditions and its art demand or reflect a continuous awareness that there is the larger expansiveness of a macrocosm which is in constant flux, and that renewed configurations are the rule and not the exception? Is this consciousness of Man's place in the macrocosm and the dynamics of flux? Configuration, dissipation and renewal is at the core of the speculative thought. How does it permeate the processes of creativity?

Artistic creation as we know is itself the expression of a deep experience of both external phenomena and internal reflection. Man having been given the one special and distinctive attribute of both mind and reflection articulates itself through speech, viz. *Vāk*. This faculty obviously alludes to the processing in the micromind of man, something which is macrocosmic. All this happens before and during the act of artistic expression. This relationship of the macrocosm and the microcosm, the great universe and the tiniest speck is the ability of the human mind to look at the world with a telescope and microscope. The microscope of the mind of man has many faculties for looking at single units or comprehend through analogues of the whole. Creativity is the sudden luminous spark which makes the familiar unfamiliar or unfamiliar familiar each time giving it a new significance. As we know we look up at the dawn, evening comes, some of you go to the ocean, other people go to the mountains, sunset happens, night happens, you sleep, you get up, and everyday this routine goes on. It is an everyday happening and we give it not much thought. However this experience, taken for granted, is imbued with meaning and significance when the Vedic seer sees the dawn as *Uṣas*. Then the most familiar becomes a revelation. The experience of everyday of billions of years is uplifted to a higher plane of consciousness. Now it is a one-time wonder of all times through the words of the Ṛgvedic seer. When we examine further we find that the power of revelation lies in the use of metaphorical language. *Uṣas* is compared to a dancer who walks on the stage and unveils herself before commencing her constant and perennial dance. It is the language of metaphor and not descriptive language of discursive thought which ignites the creative and the imaginative. Had he said that the sun comes arid you see the sun first slightly red and then you see it yellow and there is noon and it goes to the west and then sets on account of the rotation of the earth, we would have

information and knowledge but the sense of wonder would not be evoked. Thus the experience of each Dawn can be a moment of elation and awareness of the cosmos. One may go further and say that the metaphorical language in which something happens is acausal which emerges from what we may call the intuitive right side of the brain and not the left side of the brain. This sparking off ignition in a flash is the metaphor.

Now let us try and overview the Indian tradition with the help of these spark lamps. First we look at the Vedas and the Upanisads which have been read and reread and commented upon. However, by and large these have been looked at as either religion or philosophy or theology or if we continue to use those goggles or borrowed eyes then they represent a pantheistic anthropomorphic world view. If we look at these hymns and reread, we see, that (whoever these peoples were, wherever they lived, whether they were the descendants and continuations of the peoples of Mohenjo-daro, whether they were the nomads from Central Asia) we know that we remember their poetry and not them. We are struck by their illuminating perceptions without the aid of either the physical microscope or telescope. The entire corpus of this literature repeatedly reflects the awareness of the relationship of the macrocosm and the microcosm. In turn through the articulated word and through the word sparked as revelation we begin to get a series of metaphors which I believe govern the Indian artistic traditions. The metaphorical language becomes a structure. In fact the metaphors have a validity at the level of understanding matter as we understand in science. This is another seminal reason for their continuous efficacy.

The seminal concepts, or call them metaphors, provide the network and web-like structure of the Indian arts at both the implicit and explicit levels.

We began first with what I said macrocosm and the very first awareness or Uṣas. Uṣas as we know is an aspect of Sūrya and Sūrya is Agni as the first principle. While we shall return to this first principle as the last principle, (keeping in mind this movement, which engages us every moment) let us move to this earth, our earth, and what is it? At the astral plane, sun (*agni*) is primary and seminal. It is called the seed of the universe. Elsewhere at the terrestrial plane whether it is the arts or philosophy or metaphysics or the Upaniṣads or the Brāhmaṇas or the N*Nāṭyaśāstra* or the *Śilpaśāstra* or the *Vāstuśāstra* or the *Sangītaśāstra*, the metaphor is the most ordinary, familiar and obvious.

From the discipline of organic botany and chemistry the germ of life is the all too familiar seed or *bīja*. Its very familiarity and ordinariness like the phenomenon of Dawn is elevated and imbued with profound significance of extraordinary dimensions. It is seminal and primary. The metaphor of the seed alludes to organic growth of any life, acquatic, terrestrial, human. *Bīja* is not just seed embedded on earth. It is also Sūrya in the sky. The metaphor and related metaphors permeate the tradition for thousands of years. This *bīja* itself naturally, what in normal experience, gives rise to trees, the trees to flowers, flowers decay, but give rise to seeds (*bīja*). So *bīja* emerges from *bīja*. This is as simple and as complex. Can you arrest in exact measurable time the moment of sprouting growth of trees flowering, fruiting and seeding and renewal? The answer is Yes and No. The enchantment is in the process of continuous movement from a single source. The plant, the tree, the flowers and the fruit are the multiple expressions of an embedded and governing unity. Decay and rejuvenation are both its aspects. The seed is invisible and its invisibility is one of its greatest attributes. Organic growth is its concomitant attribute. The familiar terms that we use in common parlance of the *bīja mantra*, the *bīja gaṇita* and many others point at the core of the concept, the seminal and the primary which gives rise to secondary form.

From the *bīja* then there is a tree. The tree, now is seen as the trunk, the trunk is solid, has an axis, it is vertical and some trees give roots, which again make trees, specially the Aśvattha. From the *bīja*, the Aśvattha becomes a symbol and a metaphor which is used at multiple planes and levels in the Indian tradition. Volumes have been written on the tree in Indian art and we will recall the famous title *Tree and Serpent worship*. However we are concerned here with the pervasive use of the metaphor and the series of metaphors which are employed for comprehending process and organic growth. The metaphor of the *bīja* is consistently and constantly employed at the level of theory and practice, (*śāstra*) and (*prayoga*). It is concretised in architecture and sculpture, becomes a term of reference in music and fills the verses of poetry. Crucial and central to the awareness of both bio-diversity and biological process is the conception of the 'seed', the *bīja*. We had seen that in *Ṛgveda* hymns, 'Sun' Agni was centre and seed. In the biological world, the 'germ', the 'seed', is the 'bīja.' It is seminal. The 'seed' also corresponds to the 'egg', the golden germ (*hiraṇya-garbha*). It is the 'seed' of the vegetative world, the foetus of the animal

world, and 'womb' of the human world. The seed, '*bīja*', is the beginning of the plant and the tree and its final flowering returns to seed and the '*bīja*.' The multiple levels at which this conception of seed, *bīja, garbha* and *aṇḍa* is comprehended is a unifying principle of Indian philosophy, thought, the many schools (Buddhist, Hindu and Jaina) of *tantra* and is basic to Indian art. The bio-metaphor is primary. Discussions on the nature of *bīja* permeate discussions in all schools of Indian speculative thought, disciplines of linguistics, enunciation systems and provide the bio-metaphor of Indian art. It is the seed, *bīja*, which is unmanifest centre of the *stūpa* or temple. It is in the ground and rises up to the finial as the seed again after multiple flowering. The *āmalā* tree becomes a symbol of the tree and in architecture we see it as an *āmalaka* on the *śikhara* (Figs. V, A & B). There is an organic integral inter-relationship of the diverse parts but not replication of the different parts to make a whole. Instead, it is the multiplicity of form which gives rise to a *oneness*.

The seed (*bīja*) thus is the source of the primary principle from which all other principles proceed.

Seed is the germ of life, unique as primary cause. Though remaining one, is made manifold by the mere Will of the Lord (*ekam bījam, bahudhā yat karoti (Śvetāśvatara Upaniṣad 6.12). Bīja* is the basic dynamic energising principle: according to some texts the entire universe is its manifestation and expansion. The conception of seed guides as movement and growth in the Indian arts.

The *stūpa* and temple in architecture in (Indian arts on the) dramatic theory and movement of the plot is likened to the germination of a "seed as plant;" tree, fruit and again seed. We may also remember that the *Ṛgveda* had spoken of the coming together of the 'seed' (*bīja*) and 'breath' (*prāṇa*). "When breath with thunder roars upon the herbs", impregnated they conceive "fruits in the wombs", then many are they born, and all around.

In the Upanisads as also later Tantra it becomes the seed syllable (*ham* and *saḥ*). In dramatic theory, seed *bīja* is the play of involution and evolution. Bharata in the *Nāṭyaśāstra* says: "As from the seed the tree is born and from the tree flowers and fruits are born, in the same way all sorts of *bhāvas* have their firm root in *rasa* (aesthetic pleasure)". *Nāṭyaśāstra*, VI. 38.

Abhinavagupta commenting on this says,

"Thus the root representing the seed lies embedded as aesthetic pleasure (*rasa*) in the poet. The poet, indeed, is an aesthete. Poetry or any artistic creation represents the tree. The action of the dramatis personae and others (*abhinayādi*) stand for flowers and others (of the tree). The enjoyment of *rasa* (aesthetic pleasure) by the aesthetes stands for the fruit." *Abhinava Bhāratī*, VI. 38.

When we move from *bīja* to tree or Aśvattha we are concerned not only with organic growth but also with form and structure. The Aśvattha has a verticality; it rises above and yet it throws its branches down (Fig. VI, A). Thus continuation from organic growth to metaphors which deal with structure. The tree in turn facilitates the evolution of the metaphor in built form of the *skambha, stambha* (Fig. VI, B). The concept of the *skambha* is overlayed on the tree, *vṛkṣa*. This is also the *thāṇu* or sthanu. The further refinement of a pillar arising from the earth, undoubtedly related to the tree as the *axis mundi*. it is that which makes a connection between the earth and the sky, heaven and earth It is universal and not restricted to only Indian culture. The notion of the *axis mundi* gradually emerges as something which we know and encounter constantly in the Indian landscape. We know that the pillar of the earth is also the mountain, the *Mahāmeru* of great structures.

Let us move on now to another discipline or field, namely from botany to anatomy, specially the body of man. This body of Man (woman) is also a tree. I am also a tree with verticality with my feet on the ground and my head metaphorically reaches the sky. The moment I stand and I stretch my arms I encompass the whole world, both space and time and the five primal elements. It is the anatomy of Man which sparks off the most potent metaphor of *Puruṣa* again as the micro and macrocosmic Man. We are all familiar with the famous *Puruṣa Sūktas* of the *Ṛg Veda*. *Puruṣa* is a term of reference of both verticality as also of structure. We are also aware that it is a term of reference of explicating social organisation, i. e. the caste system. We should make clear that this term which has been interpreted as a metaphor of hierarchy indeed refers not to hierarchy, instead to interdependence. It points at the intrinsic relationship of the head, chest, pelvis, the upper and lower limbs and the feet. At no point the metaphor alludes to absolute domination and subordination. Indeed one commentary

asks the question: can a man or society walk without feet? You can give all the orders from the mind or the Brahmins (empowered) but can action take place without feet or motor action in the individual and without community participation in a society? Also it is evident that the metaphor alludes both to the individual self as also the cosmic self, the socio-economic and political self, as also the members and parts. It is stressing the notion of parts and whole in structures. Thus the repeated reference to dismemberment and rememberment of Prajāpati.

However, to return to anatomy and physiology, the body of Man physically and notionally has a centre. This centre is the navel. In Indian and Tibetan medicine it is crucial. Now the *nābhi* (navel) is the *bīja*. From the *bīja* you get to verticality of the tree and the tree gives you the *Puruṣa*. This is one dimension. The *Puruṣa* in turn centres around the navel (*nābhi*) from where all energies and veins converge and emerge. This *nābhi* (navel) is centred horizontally and vertically and also moves in three-dimensional space. The metaphor of the navel (*nābhi*) in the body of man js extended to the *nābhi* (navel) in the built form. Logically it leads to the nave of the wheel and that gives you the powerful metaphor of the chariot. Thus in each case one basic metaphor leads to a series, in each case alluding to the two attributes of inter-relatedness and structure, the parts and the whole. The structure(s) are not static but dynamic, capable of different configurations. Thus when reduced to a set of verticals and horizontals in Indian sculptures, we have the language of the *sūtras* and *bhaṅgas*. However, *Puruṣa* is not just body, *śarīra*. Indeed the word *śarīra* should not be understood as just physical in terms what we understand as body. It is also *ātman* (spirit). Besides there is overlayering, and the body itself comprises the five sheaths, i. e. *kośas*. These layers have mass, volume and dimensions. The body, *śarīra*, can be looked at from the outside and it can be looked at from the inside. It can be looked at from lowest psychical fcentres to the highest psychical centres because in turn then it leads to that great metaphorical hymn, or poetry of the *Kaṭha Upaniṣad:*

> *"Know thou the soul (ātman) as riding in a chariot;*
> *The body as the chariot.*
> *Know thou the intellect (buddhi) as the chariot-driver,*
> *And the mind (manas) as the reins.*
> *The senses (indriyas), they say, are the horses;*

The objects of senses, what they range over.
The self combined with senses and mind.
Wise men call 'the enjoyer' (bhoktṛ)."

and again,

"Higher than the sense are the objects of sense,
Higher than the objects of sense is the mind (manas):
And higher than the mind is the intellect (buddhi)
Higher than the intellect is the Great Self (ātman)."

The anatomical, physiological metaphor provides the Indian arts with the steel frame of structure. Be it the Vedic sacrifice which is considered the enactment of the dismemberment or rememberment of Prajāpati, of the parts and the whole, or the architectural ground plan and elevation plan of *stūpas* or temples, or armatures for sculpture, the systems of dance technique or musical system. Fundamental to the structure of each art is the paradigm of *Puruṣa* (Man) with 'navel' as the centre, spine as the axis and feet and heads as poles and upper limbs as branches or horizontal axis (Drawing I) Both the texts and the builders of the structure of their particular art and practice follow the paradigm. Architecture has the *Vāstu Puruṣa*, drama *Nāṭya Puruṣa*, sculpture the *Śilpa pañjara* (cage) and music the *Sangīta Puruṣa*. The one form is broken up into its smallest constituents of many parts and reassembled in multiple configurations in space and time to evoke a whole.
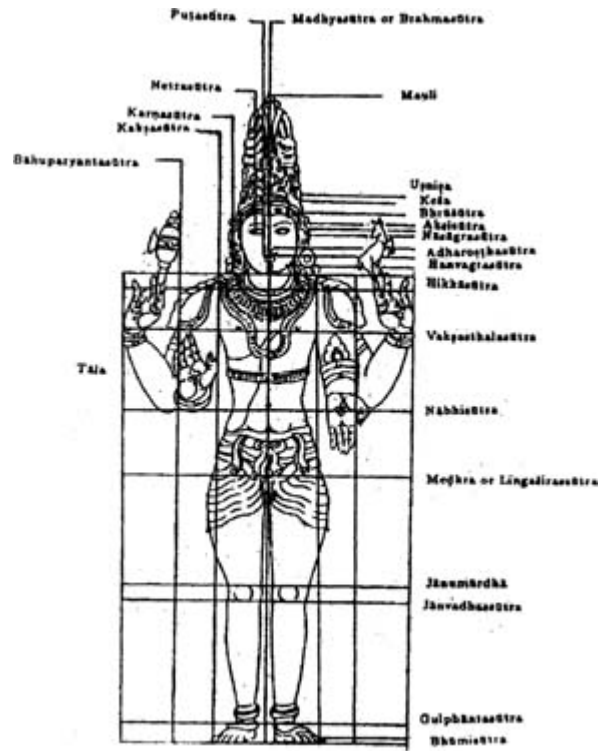
Drawing I: *Purusa, the system of sūtras and bhaṅgas*

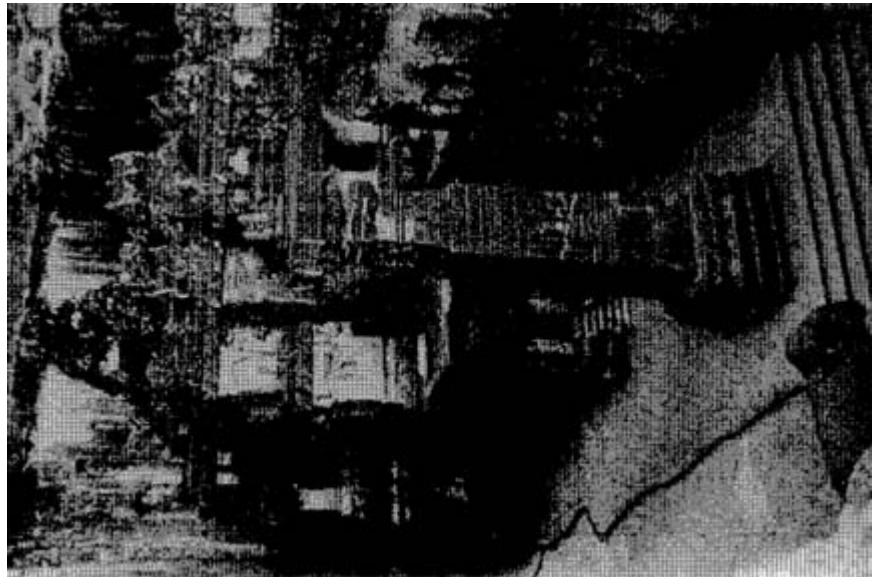V

A. The *āmalā* tree, fruit and seed

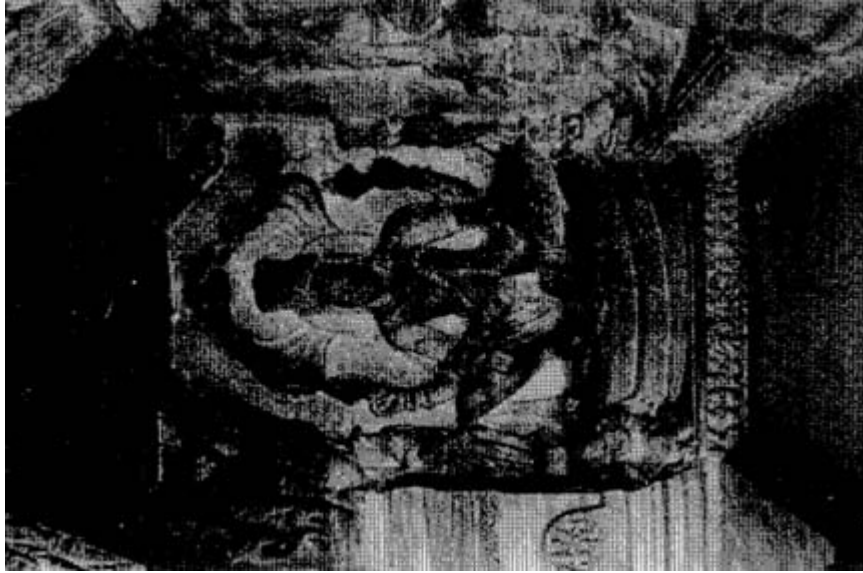B. The *āmalaka*, Lingaraja temple, Bhubaneswar
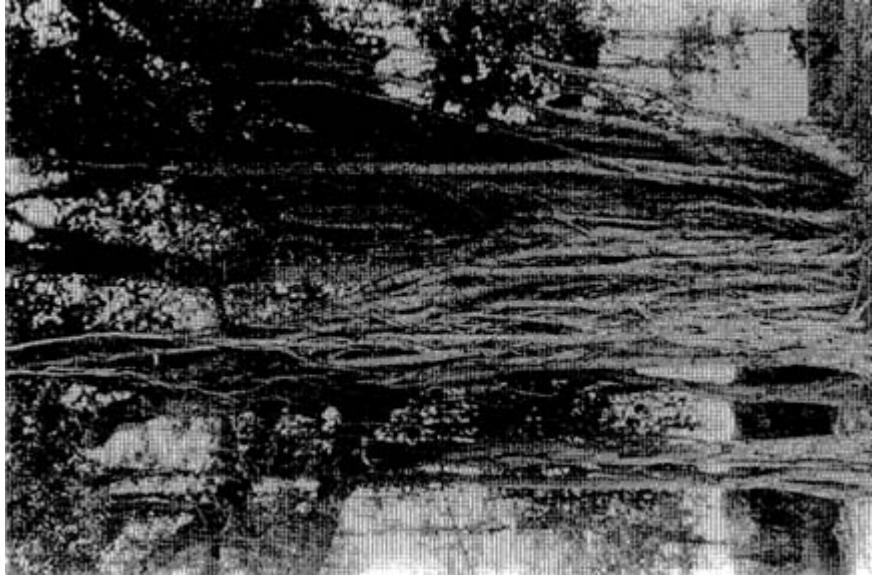
A. The *aśvattha* tree

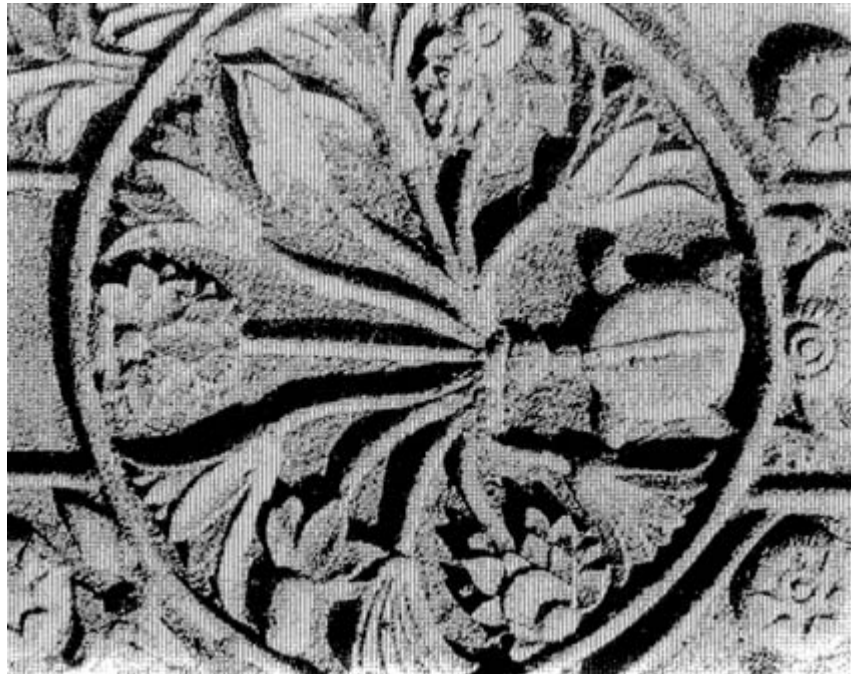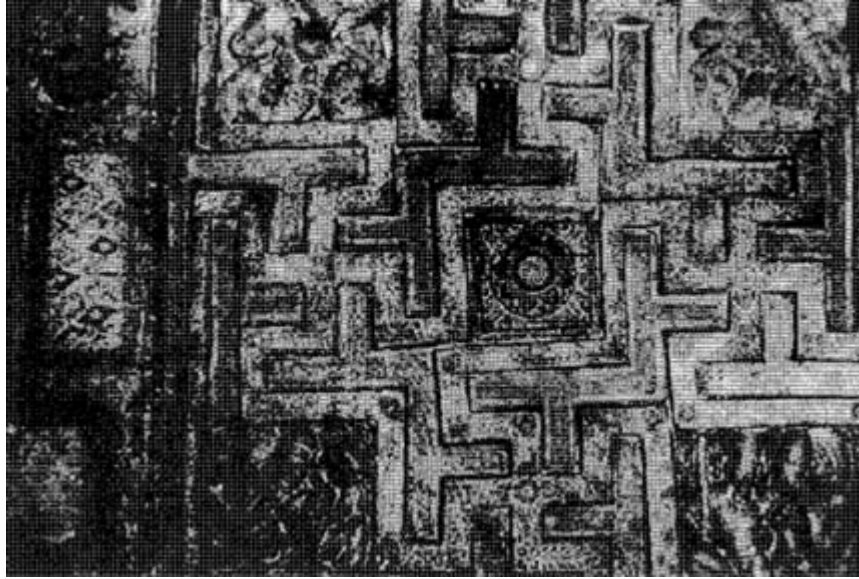B. The *skaṁbha*, Kailāsanātha temple, Elura.

A. The *nāga* as *āsana*, Badami cave

B. *Pūrṇaghaṭa-ghaṭa* in the shape of a tortoise

VIII

A. The line of eternity, ceiling of Badami cave

B. *Cakra*, the wheel of Konarka

If anatomy provides structure as distinct from process of the vegetative world and of bio-organic life and animal life, the physiological awareness of interdependent and mutually complementary diverse systems of the body provide Indian speculative thought, myth and art with the rigorous but flexible metaphor of the relationship of sense perceptions, body, mind, and intellect and consciousness, i.e. of the physical, intellectual, emotive and experiential. Differentiation is considered and accepted but all within an

intrinsic unity. Botany and anatomy can hot be dissociated from the related field of zoology and physiology. The perception of this inter-relatedness is not confined to the different parts of Man but is extended to all life, animate and inanimate. Here water and acquatic life is primary. The sun is primary in the sky. On earth, *bīja* and seed, but neither can be sustained without water, one amongst the five primal elements. The notion of life emerging from the waters flowers as the water cosmology of the Indian tradition. A mighty metaphorical system of acquatic, terrestrial, and celestial fauna is developed. It crystallises in the symbolism of the Matsya, Kūrma, Varāha, Narasiṁha, etc., Fundamental to the image is the metaphor of the *nāga*. At the primary level it is calling attention to the level of undifferentiation of the waters, the first moment of differentiation is the *nāga* and the next is the amphibian tortoise *kūrma*, which is inside and outside. It is the great connecting link and therefore upholds that *āskambha*. It is the tortoise which holds the cosmic order when the Devas and Asuras fight. From these notions we are aware of that underlying and over-arching commonality. Man and Nature, inorganic and organic matter, non-living and living forms, the five primal elements, water, earth, air, fire and ether, are all interpenetrative. Without the recognition of this underlying and all-enveloping world view, this language of metaphor loses power and edge. The metaphors of language and art are within a cultural context and comprehension of phenomena. The metaphors I have alluded to emerge within a world view which saw the micro and the macro in relationship, and recognised transubstantiation, transmutation, reversibility, inversibility, flux as fundamental principles. Complementarity, and not conflict, is the key notion in Man-Nature relationship. These metaphors are not Tennyson's "nature red in tooth and claw" or Shelly's flight into an idealistic hope of "a many splendoured dome" through the flight of the Skylark or the escape route of temporary solace of Keat's Ode to Nightingale. These other metaphors emerge from a relationship of dissociation of otherness of nature and its beings. Thus snake becomes a snake of temptation in an another tradition. In clear distinction in India the metaphors emerge from a world view of inter-relatedness of man-nature as reciprocal, again not in hierarchy and with the possibility and probability of reversibility. The five primal elements encompass all, as all beings contain and embody the five primal elements.

To return however to the *nābhi* and navel and to the physiology of some life forms, particularly the humans is everyday knowledge and without which there could be no human life. The one cell, the micro cell, which makes us today as big or small, DNA or otherwise, genes of otherwise. It all begins with a germ and we recognise it as the womb (*garbha*). It lies not exactly but metaphorically under the navel (*nābhi*). It is the invisible, dynamic, potent secret. The womb and wombhouse is the creative force. All art historians have to physically and conceptually enter the *garbhagṛha* of their monuments, specially temples. From the outside it is not visible and yet it is the potency of the entire structure. It is the latent and potent, the beginning and culmination, the unmanifest which manifests itself. Perhaps no other culture has used the womb as a metaphor as pervasively, and as powerfully. In all its multiplicity of usage as a metaphor, of what constitutes not physically a woman's body, but metaphorically it alludes to potency and now fire in its attributes, the first principle of energy as much as *prāṇa* and air. Now it is water and fire, which ignite growth. Naturally, this metaphor takes us to everything that we know in terms of a process, because life is a process within, life is a process inside, life is unseen but is the energising principle
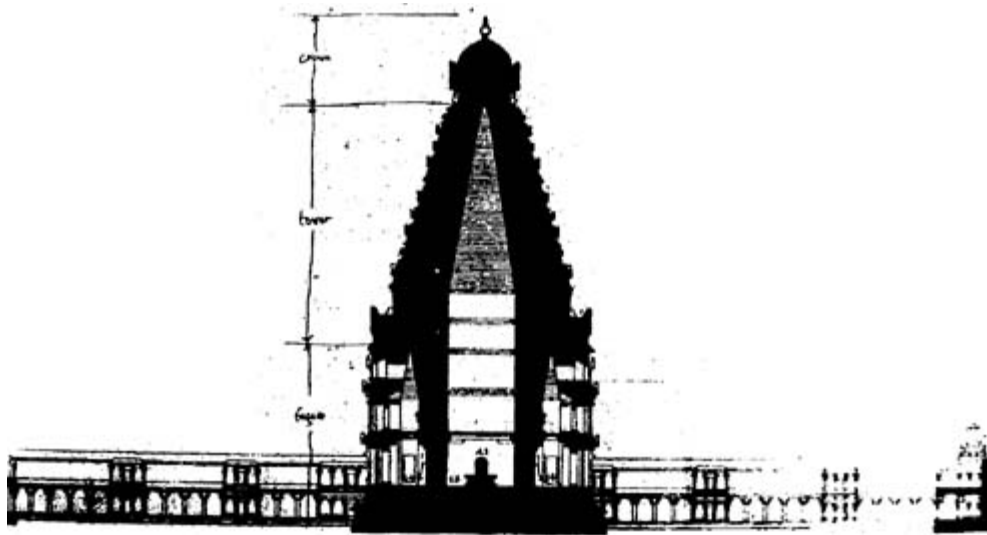
Drawing II: *The garbha and the puruṣa Indian architecture structure of the Bṛhadīśvara temple.*

at the physical and the metaphysical levels. The (*garbha*) womb and wombhouse gives rise to a most important concept of Indian philosophy and art. This is the concept of the unmanifest and the manifest which is its outer form. The unseen and unmanifest is dynamic and potent. The manifest

has form, is diverse but can be static unless in constant touch with the dynamic but unseen source. Understandably the beginning of all performances, the beginnings of all temple or sacred buildings and the inside of the temples is *Guhā* (Drawing II). India recalls this metaphor not only in speculative thought/philosophy and great cave art, *stūpa* and temple architecture but in countless annual and seasonal festivals. Here in Maharashtra and Gujarat you install the *garbī*. What are you doing? Besides the fact that it is the women who in secrecy of the night plant the seed in their homes which is taken out on Navarātra is not without great significance, through a single symbol of the *garbī*, its installation, the metaphors of seed (*bīja*) and *garbha*, earth, water and fire are being energised.

From the seed (*bīja*), navel (*nābhi*), womb (*garbha*), all situated in the lower hemisphere, although centred, we move to the faculty of the brain and the mind. Now is the level of reflection. This first gives rise to the power of abstraction but also verticality in the body of man. We are now in the mind of man and the functions of the brain. Seed, navel, *garbha*, all centres, lead us to the geometrical notion of the point – that geometrical point not exactly which is dimensionless. However, it is also the combination of the two. It is known as *bindu*, spark, it is also a drop which falls on an absorbant surface and permeates. It enlarges into shapes. From the *Ṛg Veda* to Abhinavagupta, the artistic experience is always spoken of as the dropping of a fluid such as oil on an absorbant surface. It spreads and permeates. The *bindu* itself is made up of a unity of two, one static and one dynamic principle. In contradistinction to *garbha* now while it remains static it initiates a dynamic process of multiform. It has a still centre and sets in motion fluidity. It has great possibility and probability of enlargement. Thus there is the point, the drop and the consequent periphery. As geometrical form we understand and know the primacy of the point, the circle, the square, the triangle, the crescent. In turn these geometrical forms begin to denote the five primal elements which we know in the Tantric system. And all this comes out of *bindu*. Just as Tantra takes over *bīja mantra*, the concept of *bindu* also develops it into a distinctive system. The point *bindu* is the source, the base, abode of rest. It is also pure illumination, vibratory sound, ever expressing itself in forms of concepts or objects (*bhūta*) while it remains in its pristine state of unconditional consciousness, the point (*bindu*) can become dual and after becoming dual

it breaks into plurality. The *Ṛg Veda* had spoken of the Sun as the point. In geometry the point (*bindu*) is the sun, i. e. centre with a circumference. There is a centre and a periphery, diameters and radii. The circle is a point expanded: the meeting of two equal lines forms a square and three lines come together to form a triangle. These primary forms are fundamental. They provide an incredible continuity and coherence to all basic compositional principles of Indian art.

In art *bindu* develops into a great system of form because all the formal elements of Indian art are contained in the three primary geometrical forms of the square, circle and triangle. All primary forms, in architecture to sculpture to painting to music to dance, can be analysed in terms of the primary geometrical abstractions. Often Indian art has been looked as figurative art or abstract art. Indeed the abstract and the figurative are overlayered on each other. To set up oppositions between figurative and abstraction in Indian art is one glaring example of application of derived paradigms and borrowed eyes. Within the tradition there is a most refined and sophisticated discusssion on the nature (*svabhāva*) of the *bindu*, the *rekhā*, the *vṛtta* and the *maṇḍata*. Logically and naturally all this coalesces into and is overlayered on a geometrical form with a point on centre. The *nābhi, grabhagṛha* and the point are coordinates. From Vedic altars to *stūpa*, and temple architecture to iconometry of Indian sculpture, structure of the Indian musical system, both modal and *tāla* and the evolution of basic geometrical patterns in Indian dance, move on the concurrent plane of basic geometrical configurations and the figurative. In short, the abstract and concrete are two layers of the same. Also cyclicity and spiral movement and not linearity is the norm. Hence the *nāga* comes back here because the *nāga* coils and recoils (Fig. VII, A). The innumerable depictions of the *nāga* as concentric circles within squares are neither animistic nor decorative. They are the concretisation in visual terms of the concept and metaphor of the cyclicity of time. We will recall that the chariot and the charioteer was the metaphor which the *Kaṭha Upaniṣad* used for describing the relationship of the body, senses, mind, intellect and consciousness. The wheel, the *cakra*, becomes the principal geometrical motif of Indian art. It denotes both stillness and movement; centripetal and centrifugal forces, Buddha is *cakravartin*, Viṣṇu holds a discus and the moral and ethical order is upheld with the perfect balance of the point and the circumference.

The Nagarjunakonda *stūpa* as also Sanchi and Borobudur are architectural edifices based on this geometry, so are temples specially in Kerala. Most circular temples are constructed on the geometrical motif of the point and circumference and concretisation of the metaphor of the nave hub-spokes and wheel. In Indian art from the metaphor of the *bindu* develops the near pervasive metaphor of the chariot and *cakra*. Its depictions ranging from early Buddhist art to the great temple of Konaraka need no arguments for proof (Fig. VIII, B).

From this let us pass onto something else and this may perhaps surprise you or not surprise you. From the faculty of abstraction, geometrical form and from process growth structure, stasis and dynamics we reach the faculty of numbers, equations and all that in mathematical terms we know as algebra, allogrithms and the rest. Obviously what comes to mind instantly is the notion of zero (*śṃya*). Whether it is an Indian contribution or not there

is no doubt that the discovery or invention of the decimal point value brought about major changes. Jawaharlal Nehru sums it up eloquently in the *Discovery of India*:

"The adoption of zero and the decimal place-value system unbarred the gates of the mind. Fractions come in and the multiplication and the division of fractions: the rule of three is discovered and perfected; squares and square-roots (together with the sign of the square-root, $\sqrt{}$); cubes and cube-roots; the minus sign; tables of signs; is evaluated as 3.1416; letters of the alphabet are used in algebra to denote unknown; simple and quadratic equations are considered; the mathematics of zero are investigated. Zero is defined as a-a=0; a+0 = a; a-0=a, a x 0=0; a ÷ 0 becomes infinity. The conception of negative quantities also comes in thus $=\sqrt{4} = {}^{+}2$."

All this, it must be noted, takes place from roughly the 5th century B. C., Baudhāyana, Āpastambha, Kātyāyana to Bhāskara (6th century A. D.) and Bhāskara II (1114 A. D.) – the later period coinciding with some of India's greatest architectural and sculptural achievements, composing of innumerable texts on dance, music, architecture, sculpture and painting. The diagramatic and paradigmic quality of Indian art normally termed as *yantras* and even *tantras* has much to do with the notion of the infinite and finite and 1+0 divided by three give rise to the multiple forms of Indian art, usually called the *Triṅśatkoṭi* (.333) infinite number of *devatās* and *devīs*.

Zero and fractions as the principle of the one and microclassifactory system is basic to all the Indian arts. Perhaps it is pertinent to mention that the zero is called *śūnya*, a word in Buddhist philosophy. It is also the word for 'void' and fullness. It is the fifth primal element equated to 'kham' 'ākāśa', 'ether'. The complex system of establishing 'correspondence' 'homologos' in the Indian arts has a direct relationship with this mathematical principle. Again, in this field from Ananda Coomaraswamy to Christopher Byrski, art historians have attempted to decode the system and some very valuable and meaningful work has been done in recent years.

The simple equation: $\dfrac{1+0}{3}$ = .333-i.e. $\dfrac{0.333}{\underline{1.3}}$
$\underline{0}$
-10
$\underline{-9}$
$\overline{-10}$ etc.

gives rise to a vast network of fractions. It is the bedrock of the principle of unity and diversity, one and multiple, one and fractions, the one and many improvisations, one body and many arms, the one body and many faces, the one omniscient, omnipresent, unmanifest and the multiple manifest. The algebric principle whether understood intellectually or consciously or merely internalised unconsciously provided early medieval mythology and the Indian arts with the most powerful potent tool of stating the one truth in many ways, of using freedom, innovation, improvisation and infinite variations all within the principle of *zero* and its place value. The multiple gods, the multiple arms, the multiple faces and the micro-fractions of sound, speech, musical frequency, sculptural measure as unit and proportion can be attributed to this, at least explained.

The algebric system zero and place value give all genres, schools and styles a system of *proportion* and ratios by accepting an individual *measure*. Recent work on evolving computerised databases on sculptural images and architectural plans has proved that perhaps there was not an objective yardstick of inches or cms of single measure; instead it was the selection by volition of a particular unit, finger, face, feet, even hair and its proportion and ratio. Thereafter possibilities of permutation and combinations as algebric equations were explored. Having adopted a measure, it gave the artist freedom to develop forms which could be enlarged, dwarfed, expanded and contracted. This gave the artist room for both innovation as

also adherence to core principles. We may in passing mention the word *Māyā*. The Word comes from *ma*, measure, measure which is playful and illusory. The most obvious example of this method is the mighty and highly complex *tāla* system of Indian music. It emerges from zero and one and creates a rhythmic universe of fractions and infinite multiplicity. Thus we see that the seed *(bīja)*, navel, womb *(nābhi, garbha)*, point *(bindu)*, nave of wheel and the zero *(śūnya)* are all overlayered on each other arid coalesce.

The conception of the zero *(śūnya)* both mathematically as also philosophically as void and fullness is both implicit and explicit. While the zero and *śūnya* ultimately are related to both nothing, no space as also fullness and wholeness and completeness *(pūrṇa)*, the fractions provide Indian thought and art with a dextrous instrument of evolving a macro and micro classifactory system of 1/2, 1/3, 1/5, 1/7, etc. There is the conception of three orders of space from No Space i. e. *(triloka)* and the three orders of time *(trikāla)*, the three qualities *(triguṇa)*, the three Vedas, the three castes *(trivarṇa)*, the three phases of life, *āsrama*, etc. The fraction of $\frac{1+3}{3}$ gives the

Indian mythology and arts another vehicle for dividing phenomena and composition to a series of three from space and time to trinity of Brahmā, Viṣṇu and Śiva to the emblem of Śiva, the trident.

Indian sculpture, monumental or miniature, exemplifies this in diverse ways, while following the mathematical principle of division by three.

The Devī in Ellora is an outstanding example of the incorporation of the geometrical motif of square, circle and triangle as also the three orders of space time. She sits within a circle with her navel corresponding to the point her head the apex. Below is the acquatic world and lotus pond, above the flying figures.

While the fraction of .333 is fundamental, the multiplication by nine as constant and invariable with one gives us a fascinating tree which looks like this:

$$1 \times 9 + 2 = 11$$
$$12 \times 9 + 3 = 111$$
$$123 \times 9 + 4 = 1111$$
$$1234 \times 9 + 5 = 11111$$
$$12345 \times 9 + 6 = 111111$$
$$123456 \times 9 + 7 = 1111111$$
$$1234567 \times 9 + 8 = 11111111$$
$$1234567 \times 9 + 9 = 111111111$$

An even more interesting tree is with $1 \times 8 + 1 = 9$ and treats the following numbers in a way which makes the last line look like this:

$$123456789 \times 8 + 9 = 987654321$$

These equations provide the Indian artist with a most powerful technique or compositional design whether in sculptural relief or painting. These must not be read either as sequential linear time narrations nor as foreground or background or perceptive of vanishing point. They are an attempt to incorporate the three layers. The three spaces, the three orders of time, the vegetative, animal, bird, human and divine all in one single composition to be read and comprehended together by the connoisseur and to each at his level by the others. Each point can be broken up into fractions, both geometrically and algebrically. Musical compositions of micro-intervals are based on it and all that we understand by improvisation in the Indian *tāla* system is in fact a multiplication game of overlayering one series upon another. The *tālas* are also visually designed as the many petalled lotus on concentric circles (Drawing III). Mathematics provides the principles of invariable and variables and gives room for constant change and flux within a given order.

If algebra and the mathematical zero and the metaphysical *śūnya* provide paradoxically the principles of both infinite multiplicity, fractions and unity, wholeness and void, astronomy and the movement of galaxies, the earth, moon and the sun provide Indian thought, mythology, and the arts with the notion and metaphor again of the centre and the circle or elliptical at a
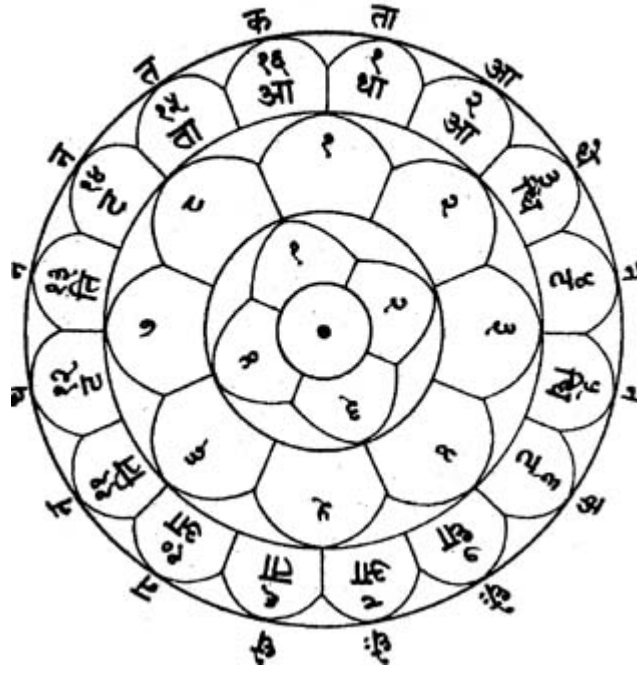
Drawing III *Cakra, the Indian tāta system*

macro level. Now the sun is the point or centre and the planets and points in the circumference, within an orbit, all in incessant movement.

The sun, in short, is the first and the last. It is the seed *(bīja)* of the heavens. It is also the last of the astro-metaphors of the Indian arts. Most traditional Indian art can be reduced diagrammetically to this dimension of astronomy of the sun and the moon, planets and the zodiac signs, whether figurative or abstract art.

We have come almost to where we began with 'Agni' and the 'Sun' for he is 'one' and the 'many', the 'point' and the 'rays' and appears as day or night, inert, sterile or fertile, dead matter or energy.

And finally *bīja, nābhi, garbha, puruṣa, bindu, śūnya* and *śūnya* all lead to that physical and psychical state of the void and fullness, the *śūnyatā* and *pūrṇa*. We cannot go into discussions of these concepts and the many deep and intricate arguments in the diverse schools of philosophy but it is necessary to state that all these notions, principles, and metaphors culminate in that one metaphor of the *pūrṇa* (full) and the *śūnyatā* is also *pūrṇatā* and therefore *pūrṇamidam* because *śūnyatā* then is *pūrṇa*. This fullness is an

abundance. It is an abundance but it is not abundance of indisciplined luxury. From the *1E5Ag Veda* to the late medieval texts of many disciplines the metaphor and the symbol of the *pūrṇa* is pervasive. The *Bṛhadāraṇyaka Upaniṣad* V. 1.1. sums it up in four lines:

"The Yon is fullness; fullness, this.
From fullness, fullness doth proceed.
Withdrawing fullness's fullness off,
Even fullness then itself remains."

Modern scholars from A. K. Coomaraswamy to Gopinath Kaviraj to Vasudeva Saran Agarawala and Govinda Chandra Pande have written eloquently on the concept The metaphor refers to the integral whole *(paripūrṇa)* which, as such is beyond finite comprehension. It is always full itself.

Indian art employs the metaphor over many centuries. It is concretised as symbol and motif from early Śu1E45ga art to contemporary practice. We recognise this as the full vase of abundance, the familiar and ordinary *ma1E45galakalaśa* or the *pūrṇakalaśa* (Fig. VII, B).

By habit and convention we just put a pot outside the door with some mango leaves and coconut. Indeed it represents the fertility which is within and without. The *pūrṇakalaśa*, *ma1E45galakalaśa*, is the luminosity of *tejas*. And it is the *tejas* which comes out again as those branches. And from that we are back to where we began: the sun, back to the sky, *agni*, because unless *agni* and water come together there can be no life; no life and thus *agni* and *sūrya*, *sūrya* as *bīja* of the sky is the seminal metaphor that we return to and then ritualise it in that great Vedic ritual which we call the Agnistoma. Because it is the mixture of *agni* and *soma*.

Whatever i have said is but a bare bone outline of the seminal metaphors of the Indian arts. The symbolism of the lotus, *nāga*, and lines of eternity (Fig. VIII, A) permeate the language of form in the Indian arts like a well understood code of communication.

What I have endeavoured to do is to lay here the many interconnected and multilayered systems within a distinctive world view.

List of Illustrations

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*   This is the text of the Sixth Smt. Nabadurga Banerjee Endowment Lecture, delivered at the Asiatic Society of Bombay, on March 2, 1996.